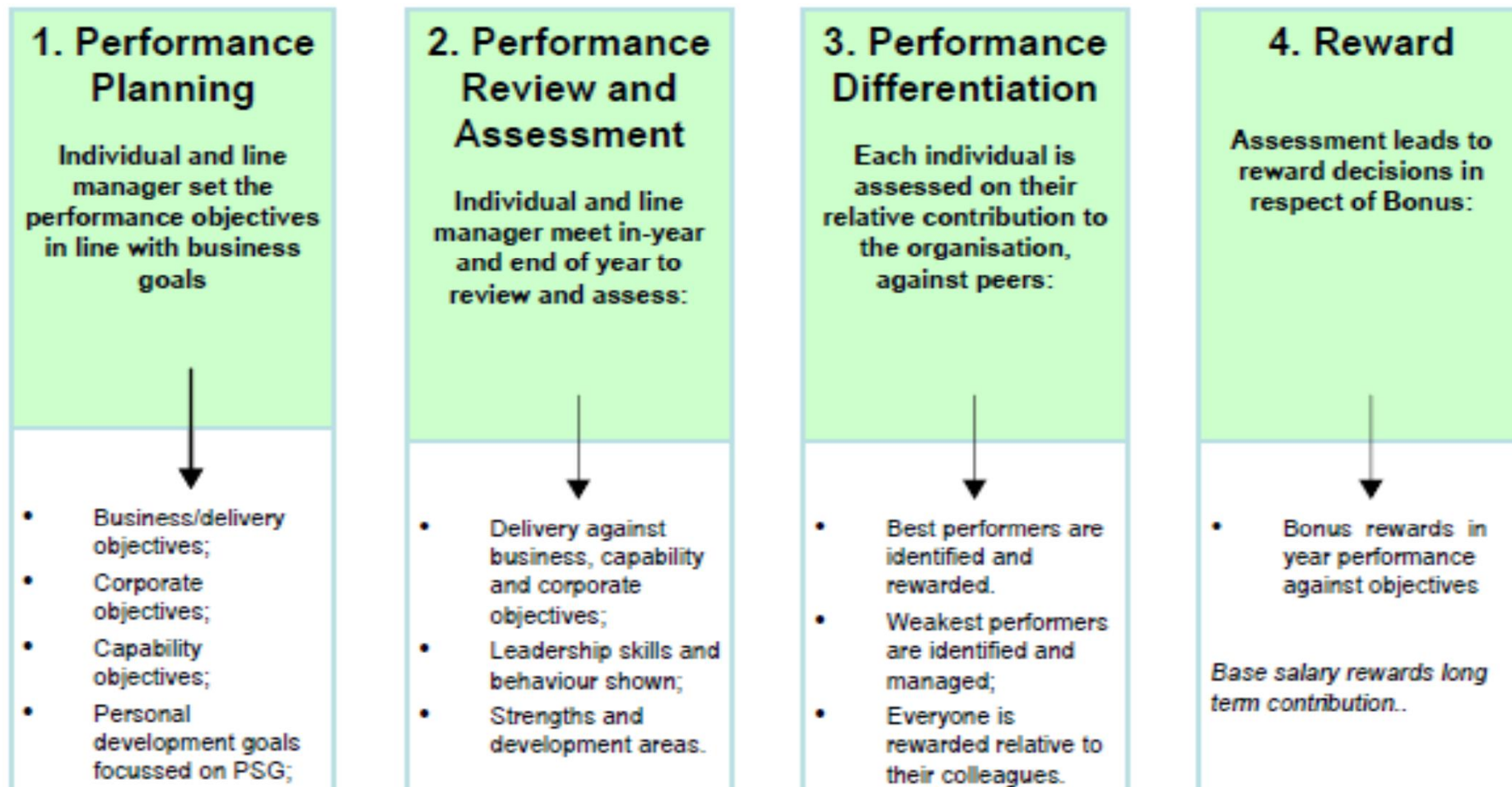




Prof.Dr.Hasenritter
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**Manual Staff and Institutional
Performance Appraisal**

China-Europe Public Administration Project II (CEPA II)

The Yearly Performance Assessment Process of Staff goes through the following steps:



Roles of Manager, Job Holder and Senior Man.

➤ **Manager**

translates organisation and project objectives into individual contribution;
supports continuous improvement through feedback and coaching;
is open, honest, and transparent in performance discussions;
assesses delivered performance against targets;
makes reward recommendations; and
communicates reward decisions and rationale to the individual.

➤ **Job holder**

clarifies understanding of objectives and identifies issues;
delivers performance in line with the objectives and emerging issues;
seeks and acts on performance feedback; and
makes the most of performance discussions providing evidence of achievements for reviews and articulating development goals.

➤ **Senior management**

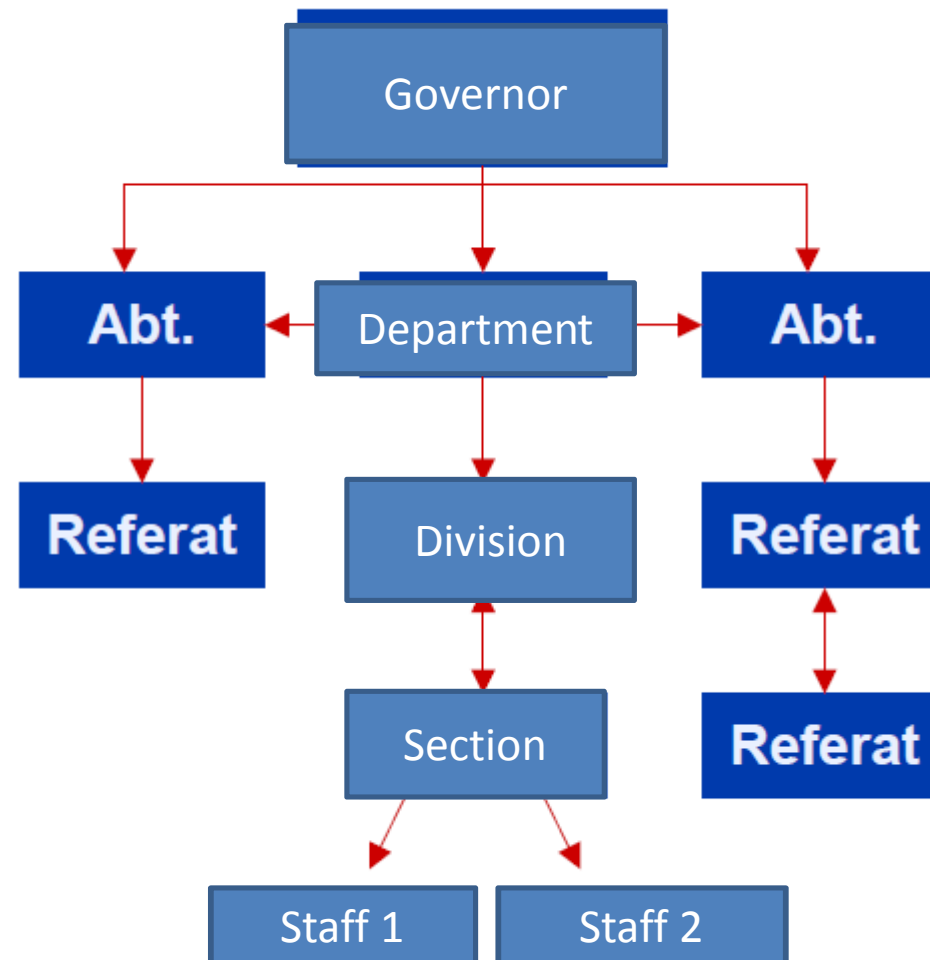
provides business direction, focuses on results and builds departmental capabilities;
guides and moderates performance objectives and assessments and reward decisions; and
ensures good, fair and transparent process is followed.

Involvement in staff evaluation

Not losing face is very important for the Chinese culture. If one member of a group loses face, the whole group loses face. For the performance of staff appraisal this means that open criticism of other colleagues and leaders as it is possible in the 360 grade evaluation model would be difficult. We therefore recommend that only the direct superior is involved in the evaluation of the staff



Recommendation: Hierarchy to be applied in the staff assessment process



The yearly Staff Assessment Performance Cycle could be performed as follows – to be adopted to the Hainan conditions

- “ Precondition: Development of Performance Assessment procedure
- “ End of Dec.: Set performance targets, set competence targets.
Discuss priorities
- “ Every 3 months; Review
- “ End of June: Mid term review
- “ End of Nov.: Performance Assessment.
 - . First Self Assessment by staff,
 - . then Assessment by the Superior directly above the staff
 - . Superior drafts Report
 - . Review meeting covering Target achievements and Competency achievement / development
- “ Dec.: If performance is above average
 - . Prepare Pay increase if conditions are met
 - . Prepare Reward if conditions are met

Set Performance and Competence Targets

- “ The supervisor will meet with each staff member to discuss and identify expectations and development goals for the coming year that reflect:
 - “ their key accountabilities and goals (expectations) for the review period. These would
 - “ normally be drawn from the area's annual operational work plan key skills and attributes necessary for staff to achieve success in their position and, where appropriate, future career progression
 - “ specific expectations for all staff with a supervisory and/or resource management roles;
 - “ and identified career and development actions to assist the staff member achieve
- “ personal excellence, maximise their contribution to the Province and, where possible achieve career aspirations. These discussions are to be summarised using Annex ... the Job Description Form
- “ Expectations describe the tasks and outcomes to be achieved by the staff member as a result of carrying out prescribed roles and responsibilities.

Job Description Define Products Performance Indicators and Measurement and Sequence of activities See Form in Annex 1

Products/Services for Training Unit	Performance Measurement for agreed time periods	Sequence of Activities
<p>(1)Training Program conducted in the following subject areas:</p>	<p>Number of courses held in 1998 measused against original target Number of participants per course, as an average for all courses and as a sum of all participants Number of filled out evaluation forms from participants Results from qualitative judgement from participants based on evaluation forms (documented as a graph per course and for the whole program). Oral and written feedbacks from member</p>	<p>Plan training Budget Draft training topics and contents in cooperation with service providers. Schedule yearly program Reschedule program on a quarterly basis. Negotiate contracts with Service Providers. Secure necessary approvals from Government Authorities Evaluate performance of service providers</p>

Set target for a Division Chief Staff Assessment Planning – The Example for „Training“ may be too ambitious.

Position:Division Chief Training Division	
Product Performance Targets:	
Training measures announced	(20)
Training measures published.	(6)
Enquiries satisfactorily answered (Average 40 calls per week)	(2000)
Farmer association training applications received	(65)
Seminars and training courses with external cust.conducted	(40)
Internal training measures for staff conducted	(20)
Number of Training days	(150)
training measures evaluated with performance above average	(6)
Number of participants (member companies)	(400)
Number of internal participants	(400)
Number of visits to Service Farmers Associations	as required
Project/Action Plan Targets:	
Full staffing to be secured until 12/2014	
Capacity Development Target	
Is able to design E-Learning Course with a suitable software tool	

Job Description Form as proposed to the Hainan Province in Annex 2

No.	Classified Activities	Performance Criteria and Targets		Products	% of the workload
Necessary formal qualifications (School, Bachelor, Masters, Driver licence and so on)					
Job Profile/Competencies					
Placement of the post in the hierarchy					
Signature authorization Power of attorney Responsibility for Material and Human Resources					

Role of the Civil Service Bureau in Staff Performance Assessment

- “ The Civil Service Bureau has the leading role in Performance Assessment of the staff as Art.10 of the Civil Service Law states “The local competent departments of civil servants above the county level shall be responsible for the comprehensive administration on civil servants within their respective jurisdictional divisions”.
- “ The performance management process begins with the HRM unit within the organization creating a performance management policy. It develops Guidelines and Procedures to be confirmed by the TOP-Management.
- “ It creates the structure of the key documents as a form (Target setting, Job Description, Performance Assessment Evaluation)
- “ It is responsible for the Training of the Superiors that are involved in Performance Assessment
- “ It is responsible for the Quality Management of the Assessment and secures the compliance of the assessment regulations and the completeness of the assessments

Performance tackling

1. Tackle performance every day – on the day

You should make time to address performance every day – good and bad. Hold regular and constructive discussions. Make sure you tackle poor performance on the day it occurs and in more detail in the first one to one that follows – do not wait for a six monthly or annual review. Talking to people about issues when they occur is vital, backing this up when needed with a file note you share with them enables and supports any formal process. Filing a note you haven't shared with the person undermines any formal process rather than assisting it.

2. In tackling extremes don't miss the majority

While you can sometimes find you concentrate your time and effort on excellent and problem performers, the majority are usually in between. **There is real performance improvement here which is within your grasp.** Identifying those whose performance is improving or declining and managing accordingly can make a real difference to individual and team performance. Most people genuinely welcome feedback that helps them to improve and want to do well.

3. How people get things done is important as well as getting them done

Attitude and behaviour are part of performance – you can and should manage them. As communicators how we present ourselves, handle situations and market our profession are part of getting the job done well. You need to address attitude and behavioural problems even if 'technical' performance or delivery is good. This isn't about deeming a specific leadership style better or worse than any other, but about demonstrating both the corporate and organisational behavioural expectations. Corporate expectations are set out in frameworks like the Leadership Model. They also form part of our Civil Service values set out in the Civil Service Code. Departments should set out clearly any organisational expectations so that objectives can be linked to the business aims. In both cases job holders and managers need to be clear about what is expected of them and how this will be measured.

4. You need a different approach to managing behaviour and attitudes than managing capability

Capability problems are best tackled by clear task based objectives, behavioural and attitude problems by being very clear with people on the behaviour you want and don't want. For capability issues a reasonable timeframe for improvement can be put in place to take account of any training/coaching requirements. Behaviour and attitude can be transformed very quickly if you actually tackle it with people and then keep tackling it.

5. What individuals can do to engender good performance management

- **Set clear objectives** - It may be self-evident but the start of good performance management is clarity about the objectives that are expected to be achieved, both in business outputs and the way business is conducted. The need for specific performance measures and criteria will vary from circumstance to circumstance but the key requirement is that both parties are clear about what has to be done and how they will assess how well it has been done.

- **Establish the right relationship** – It is very important to establish and maintain the authority to engage in performance management. That comes from being very clear from the start about the standards that matter to your business and the organisation. It is also helpful to separate the individual from their performance. You are not reviewing the individual's intrinsic worth. You are reviewing what they have done. This is particularly important when challenging poor performance.
- **Be generous** – Good performance managers are generous with their time, with their support and coaching and, above all, with their aspiration that the individuals they manage should have the opportunity and support to grow and improve. They do not separate development from performance management. Their goal is for performance to improve and their skill is in helping their people to do that. This is nearly always accompanied by a style of leadership and management which is empowering – by being clear about outputs and helping their staff to learn and grow as they discover the best ways to deliver them – rather than specific and detailed checking and intervention.
- **Be tough when necessary** – These characteristics enable good performance managers to be extremely tough when they need to be. They have established the moral authority to be a robust and vigorous as necessary.

Mid term review

- “ At the mid-term supervisor shall meet with each staff member to review progress and achievement. These review discussions are an opportunity to provide feedback, support, direction and encouragement in relation to the progress and achievement of the staff member's expectations and development plan.
- “ The review also provides the opportunity for the supervisor and staff member to discuss general work issues, including workload, and the operations of the college, school, division or area that affect an individual's contribution.
- “ A summary of the progress review discussion should be recorded in Annex ... Statement of Expectations form.

End term review

- “ An end of term assessment will be held at the end of the designated period, which is usually a 12-month period. The staff member should reflect on their experiences at work, the supervisor and staff member should then meet to discuss and review the overall progress and achievements of the staff member, identify any critical factors which may have impacted on progress/outcomes and identify an overall performance rating for the staff member over the review period.
- “ In cases where development is required or progress and achievement is unsatisfactory, action to address possible underperformance or misconduct should be taken at the earliest time possible. Once such issues are identified, such action should not be delayed until a formal review

End term review: Guidelines for the Supervisor

Due Dates - the formal annual performance review should be conducted in the early December. It is recommended that you begin the evaluation process as early as possible and not wait to the last minute before the deadline. Policy requires that a copy of the completed and signed review be submitted to Human Resources by the 5th of December for inclusion in the employee's personnel records.

Supervisor's Role - Good management practices will lead a supervisor to provide clear guidance, coaching, and feedback to their staff throughout the year on job duties and responsibilities, performance goals and expectations, appraising the performance and future development opportunities. The annual review is the capstone for this process. In the annual performance review, the supervisor summarizes these discussions in writing using the appropriate performance review form. The goal of the performance review is to provide administrators and staff with feedback on their performance and accomplishments for the previous year. As a result of this process, the employee should have a clear understanding of their job responsibilities and the supervisor's performance expectations. Also through this review process, specific action plans are to be developed to help direct expected performance for the coming year and allow the employee to achieve established performance goals.

Before the Review Meeting - Before meeting with the employee, plan ahead. The process starts with a self assessment of the staff based on the Staff Assessment Form in Annex 5. Consider the following in preparing for the employee's review meeting:

- ~ Remind employees of the review cycle and when you expect to start.
- ~ Provide advance notice to the employee when and where you intend to hold the review meeting (a good rule of thumb is to give a week's notice).
- ~ Inform them how the review meeting will be conducted and what they should bring or provide to you in advance of the review meeting.
- ~ Prepare a draft review taking note of items in your personnel file, including:
 - o Documentation and notes of previous performance discussions;
 - o Last year's performance review;
 - o Performance expectations and job description;
 - o Goals and objectives established for the previous calendar year;
 - o Records of compliments, complaints and disciplinary actions from the previous year;
 - o Any other information relevant to the staff member's performance; and
 - o Sample work products, especially if you plan to use these as examples.

End term review: Guidelines for the Supervisor

~ Notify the employee how much in advance you would like to review the employee's self assessment before you conduct the actual review meeting.

~ Review the employee's performance and prepare the appropriate performance review form, focusing on the entire calendar year, not just recent events.

- o Compare the employee's actual performance to established expectations, goals established at the last review, and the position description;
- o View employees as individuals; and
- o Assess strengths and weaknesses.

~ Where appropriate, you may want to discuss your draft performance review with the next level supervisor, department head, and/or dean. Include any additional input, suggestions, and/or comments. Since this is a preliminary discussion, no signatures are required at this time.

~ Finalize the draft performance review. This should include the rationale for ratings, goals and expectations, and ideas for the development plan. Once the final draft is ready, some supervisors find it useful to send a draft to the employee 24-48 hours in advance of the scheduled review meeting. This helps the employee to be better prepared to respond during the actual review meeting.

During the Meeting - Meet with the employee on the predetermined date to discuss the performance review. The ideal performance review is one that can be characterized as a two-way conversation. This conversation should include a discussion of the position description, current job duties, mutual expectations and plans/concerns for the coming year. This meeting should also include:

~ Any additional, mutually agreed upon comments that are to be added, should be noted so they can be included in the final signed copy;

~ Review performance expectations for the coming year;

~ Discussion of the goals and the development plan to be put in place for the coming year;

~ Provide the employee with an opportunity to attach comments; and

~ Once a final copy is ready, both supervisor and employee should sign the review form.

After the Meeting Ë Send the Review Form to the HRD. In case the employee opposes your decision take the decision of the Superior one level above you.

Mistakes and stumbling stones

The practice of implementing the Staff Performance Appraisal is confronted with the following mistakes ('Stumbling stones'):

'The looser-symptom': Persons not promoted for a longer time might be evaluated lower.

'Negative perception': If a person is noticed in one negative case, then this can have the tendency to be generalized.

'Equal type': If a person is quite equal to the person who is doing the appraisal, this might have an effect on a positive result.

'Austerity type': There is a continuum of superiors between stringency (austerity) and benignancy (mildness); the extremes must be balanced.

'Good mediocrity': There is a tendency to cluster almost all employees to be appraised in one single group of upper mean (good, competent).

'Gender impact': There are differences between men and women in the competencies, especially concerning behavior (e.g. in situations of conflict) and communication and leadership skills.



Performance Assessment cannot be looked upon isolated. It is part of a system in Human Resources Management





Products Definition

It needs to be defined what services each standardized post in the overall system of Civil Service is delivering. In the context of New Public Management the term of 'Product' has been overtaken from private sector. A Product in the Civil Service context is a specified service adding value to business to be delivered to an external or internal customer. The focus is on internal and external customer delivery and not on description of activities of staff like report writing, taking part in discussion and so on. The terminology replaces former usual terms like duties and responsibilities. The City administrations in Germany may have for example 700 products in such a sense that need to be described and there are a number of classification efforts existing in that respect. The majority of City administrations have product descriptions in place. They also calculate costs per product.



China-Europe Public Administration Project II (CEPA II)

Job Activities and Steps

A sequence of activities and steps within the workflow to arrive at the delivery of a service product. This is derived from the detailed workflow and describes on an aggregate level the typical activities and steps.



Job Profile

- “ Describes the necessary qualifications in terms of education, experience and knowledge /skills to perform the job successfully. These qualifications refer to products to be delivered.

- “ Job profiles can fulfil a number of functions:
 - Job profiles serve as a basis to advertise the job
 - Job profiles serve as a basis for the analysis of the necessary knowledge base and competencies of the job holder and education needs accordingly
 - Job profiles serve as a basis of comparison with Actual Staff Profiles to be developed Gaps between Job Profiles and Actual Staff Profiles form one basis for Performance Assessment for further Human Resources Development Planning.



China-Europe Public Administration Project II (CEPA II)

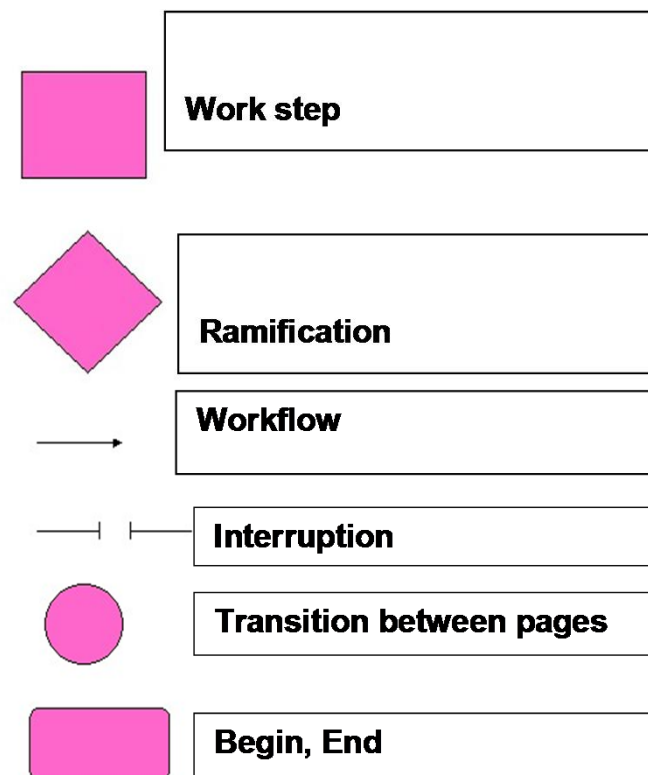
Workflow/Business Process

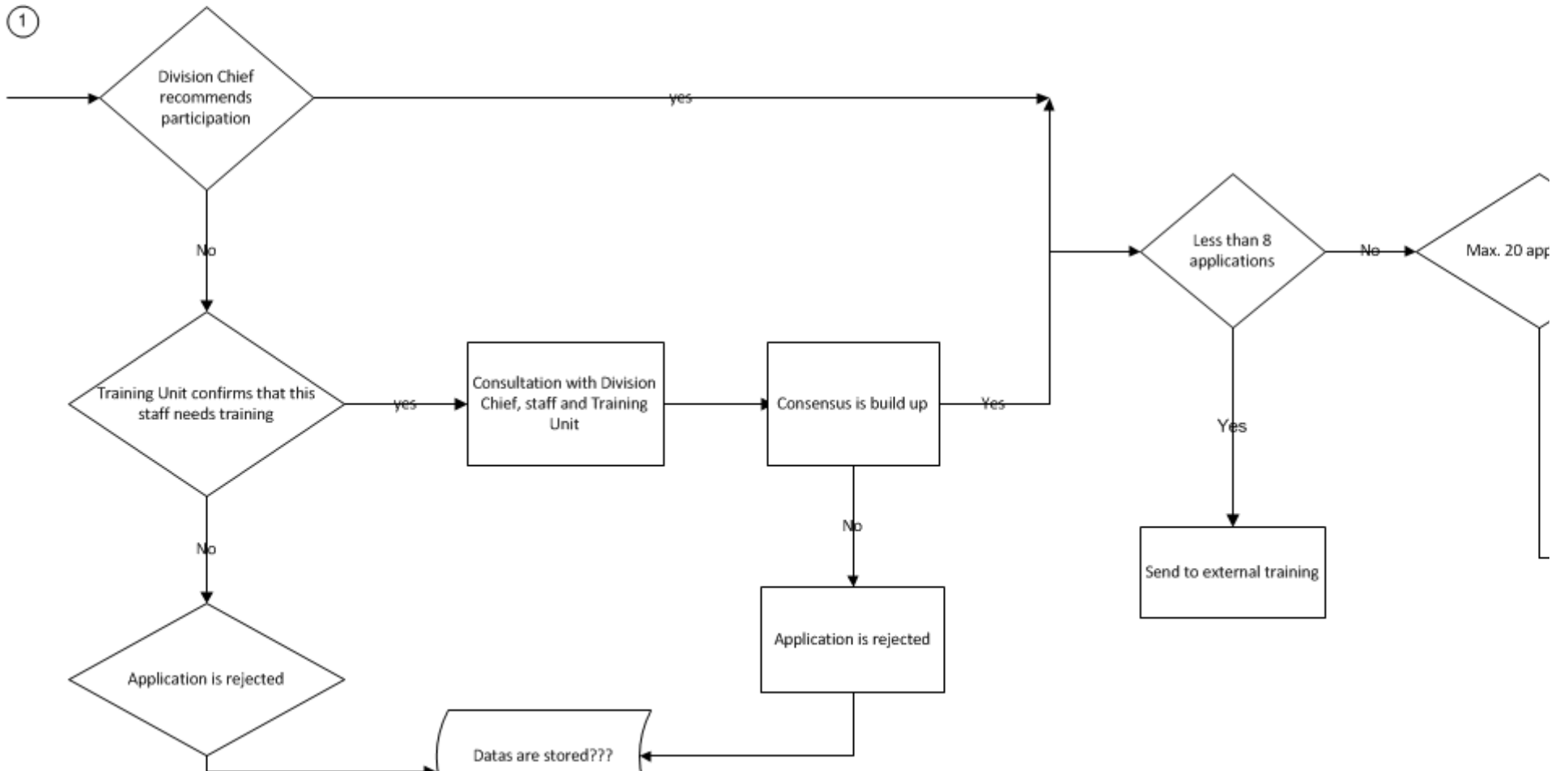
A sequence of activities of different actors based on types of structured work and information storage to arrive at the delivery of a service product. In the German system these workflows are documented as block diagram with an industrial norm called DIN 66001 using the following symbols:



Workflow/Business Process

Block Diagram







Workflow/Staffing demand

As such a workflow is very detailed one can estimate realistically the time that is needed for every step in the workflow from the perspective of an average staff and then aggregate the time needed for all steps to arrive at the time needed for one product delivery, then multiply with the number of product delivery per year and arrive at the overall time needed for product delivery per year and then divide it with yearly working capacity of an average staff to arrive at the staffing demand per product.



Workflow/Staffing demand

Example:

Our City Administration at home receives 50.000 invoices per year that need to be booked in the IT-based financial reporting system from SAP. In analysing the workflow we have evaluated the necessary time for one booking with 6 minutes per case on average. This is also the value of a comparable benchmarking with 6 other government agencies

The available working capacity per staff is 90.000 Minutes per year net.

Staffing demand:

$50.000 * 6 / 90.000 = 3,3$ staff. The benchmark for one staff is $50.000 / 3,3 = 16.666$ bookings. The IT system counts the number of bookings for each staff. At the end we can analyse over performance and under performance for each staff.

In the real life the discrepancies are surprising



China-Europe Public Administration Project II (CEPA II)

Service Products/Outputs, Performance, Job for Trade cooperation

Products for Trade	Performance Measurement for agreed time periods	Job Description
(1) Advice on foreign markets and sectors provided to member companies	Number of requests answered Customer survey	Market Service Answer information requests via phone, correspondence, receiving visitors Access electronic and other publications
(2) Meetings of Trade Missions organised	Number of missions received and sent abroad. Cooperation results (Number, Financial	Identify participants Provide meeting logistics Prepare information material



Definition of Service Products/Outputs and Functional Skills

Product/Output 1 Advice on foreign markets and sectors provided to companies

Functional Skills	Category
Product 1	
Sources of country and regional information	U
Inventory of public accessible market studies	U
Ability to interpret the results of market studies	U
Elements of marketing studies	B+
Cause-effect relationships in Marketing	U
Ability to derive a rough demand estimate from available statistical data	B+



China-Europe Public Administration Project II (CEPA II)

Service Products/Outputs, Performance, Job for Company cooperation

Products for Company Cooperation	Perfor- mance Measure- ment for agreed time periods	Job Description
(1)Information regarding companies, production lines and their products provided to potential cooperation	Number of requests answered. Ratio of unsolved requests	Establish Inventory of major industrial products of the ... area in cooperation with other information sources/providers



China-Europe Public Administration Project II (CEPA II)

Service Products/Outputs, Performance, Job for Company cooperation

Products for Company Cooperation	Performance Measurement for agreed time periods	Job Description
<p>(10)Successful business cooperation facilitated:</p> <ol style="list-style-type: none"> 1. Joint venture 2. Licence Agreement 3. Job processing 4. Trade agreement 5. Foreign Investment 	<p>Number of cooperation agreements in comparison with accepted cooperation requests</p> <p>Financial cooperation volume</p> <p>Cycle time between accepted cooperation request and final agreement.</p>	<p>Secure feedback from successful cooperation partners</p>



Definition of Service Products/Outputs and Functional Skills

Product 1: Information regarding companies, production lines and their products provided to potential cooperation partners

Functional Skills	Category
Product 1	
Sources of country and regional information	U
Inventory of public accessible market studies	U
Ability to interpret the results of market studies	U
Elements of marketing studies	B+
Cause-effect relationships in Marketing	U
Ability to derive a rough demand estimate from available statistical data	B+



Performance of a driver:

- 1 Transports the staff of the Organisation**
- 2 Organises the maintenance of the car and does minor repairs**

Product 1:

- ” No failure in finding the right places**
- ” 90 % of the transports in time as planned**
- ” No traffic accident where driver is guilty**
- ” 100 % of the booking documents delivered are correct**

Product 2:

Technical availability of the care at a level of 99%



EU-CHINA

Products/Outputs of a driver:

1 Transports the staff of the Organisation

2 Organises the maintenance of the car and does minor repairs

Functional Skills

Product 1

Ability to estimate distances and time under traffic conditions

Traffic rules and regulations

Ability to find a locations and streets from a map

Memorized knowledge of major parts of the provincial road system

Memorized knowledge how to find places frequently visited by XYZ organs and staff

Knowledge of procurement and booking procedures within the organisation

Product 2

Knowledge of all major car components and warning systems

Ability to initially analyse the reasons of failure of standard car components

Ability to replace non complex components with an enduser standard tool set

Actual jobholders



Good Performance Indicators are

S . Specific	Targets must be concrete, focussed and well-defined
M - Measurable	Measurability means that objectives can be managed, and discussed meaningfully within government and in public
A - Achievable	Targets may well be ambitious . so-called %stretching+targets in the UK . but should be within the %realm of the possible.+ Targets may be achievable but not realistic which is the reason for the next requirement
R - Realistic	Realistic targets are consistent with the organisations human resources, funding, internal strengths; and that timing of implementation is realistic. Targets must be robust to development in the organisations environment (e.g. demographic trends, funding opportunities, etc)
T . Time-bound	Targets should be specified in terms of time-lines or deadlines, and in terms of base-lines for comparing achievements before-after



Good Performance Indicators are

<p>M – Minimally worded</p>	<p>Targets should be described in concise economical language that avoids jargon and is understandable to anyone with an interest in the activities of the organisation</p>
<p>O – Open</p>	<p>Information about targets should be accessible to anyone, by way of publication or internet access</p>
<p>R - Responsive</p>	<p>Targets should reflect political priorities, end-user service requirements, and stakeholder concerns</p>
<p>E – Energising</p>	<p>Targets should capture the commitment of senior and middle management, and employees; it must be possible to link overall targets to what an organisation does on a day-to-day basis</p>
<p>Than</p>	



The Chinese Central Government Criteria for Staff Assessment

- “ **Achievement refers to the completion of the work in terms of the quantity, quality, efficiency and the benefits/impact.**
- “ **Morality is the ideological and political quality, personal character, professional ethics, social morality and so on**
- “ **Honesty, cleanness and self-discipline**
- “ **Diligence refers to the sense of responsibility, working attitude, and working style.**
- “ **Capacity/Competence refers to the necessary skills**



China-Europe Public Administration Project II (CEPA II)

The need of Volume Based recording for mass services

In Central Europe we provide the following mass services for citizens that count for substantially more than 50 % of the staffing demand in local administration: Registration and Reregistration of Citizens residence, Birth registration, Marriage and Registration of Marriage, Funeral and Death Registration, Housing support scheme for the poor, Land and Housing Property Registration, Building permits, Tax Payer Registration, Determining Tax Obligations, Determining other fees, Car licenses, Driver license, Punishment of traffic rule violations, Punishment of other violations of Public Order. These services are provided based on a division of labour between cities, counties, townships and the provincial administrations. Volume counting on a daily, monthly and yearly basis and quantitative Performance assessment accordingly for this type of services in our opinion is vital because these services create a huge staffing demand.



Measuring of Quantity in Staff

EU-CHINA Assessment: The General Approach

Measuring of quantities requests a sectoral approach and cannot be achieved by the Human Resources Department itself. The Human Resources Department can only deliver its own quantitative data as shown before. A regulation of the TOP-Management to introduce volume/number based reporting is requested

Step 1

The sectoral need to define the service products that they deliver to the internal and external customers.

Step 2

The set up of a baseline is requested that clarifies how many volumes/numbers a staff position with an average staff should deliver.

Such baselines do often already exist in different sectors:

Number of hours for teaching obligations in different school types and Higher Education institutions

Number of cases per judge in legal courts

Number of patients per different positions in medical treatment.

Where they do not exist they need to be developed and have to be agreed upon with top management because they are the baseline not only for the performance assessment but also for the quantitative staffing demand



China-Europe Public Administration Project II (CEPA II)
**Measuring Quantity: Volume Based
Indicators for the staff of the Civil
Service Bureau**

Examples:

- “ **Number of training courses held measured against original target, Number of course days held**
- “ **Number of participants per course, as an average for all courses and as a sum of all participants**
- “ **Percentage of participation and time spend in E-Learning Courses**
- “ **Number of rewards and punishments**
- “ **Volume of Customer Assessments**
- “ **Volume of Staff Assessments in comparison with the actual number of staff**
- “ **Number of Applications for Staff Recruitment**
- “ **Number of Applicants evaluated personally**
- “ **Number of Staff recruited**
- “ **Number of Staff administered in various dimensions**
- “ **Vacancy Rates of staff**
- “ **Illness and Attendance Rates**



China-Europe Public Administration Project II (CEPA II)
**Measuring Quality: Indicator for the
services of the staff of the Civil
Service Bureau**

Examples:

- “ **Training: Results from qualitative judgement from participants based on evaluation forms (documented as a graph per course and for the whole program).**
- “ **Income generated from training for external customers**
- “ **Results from staff satisfaction survey**



China-Europe Public Administration Project II (CEPA II)

Measuring Efficiency: Indicators for the services of the staff of the Civil Service Bureau

We assume that a product based and cost based financial reporting system is not yet existing. However a step by step approach could be taken to arrive close to a cost per service system.

Step 1

The classification of the budget expenses are broken down to the department and /or division level.

Step 2

Define the products that are delivered to the internal customers

Step 3

Estimate the percentage of time, that different staff members spend for a specific product and associate the personnel and other costs accordingly. Add an overhead value of may be 15 % to arrive at a expenditure per service estimate.



China-Europe Public Administration Project II (CEPA II)

Measuring Efficiency: Indicators for the services of the staff of the Civil Service Bureau

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China-Europe Public Administration Project II (CEPA II)

Measuring Quantity: Indicators for the services of the staff of the Tax offices

- “ **Number of tax assessments per staff. Requests a baseline for the staffing demand: How many tax assessments should an average staff handle?**
- “ **Percentage of tax assessments where tax assessment lead to a higher income than declared**
- “ **Average amount of additional tax income derived from tax assessment.**
- “ **Average cycle time between tax declaration of the citizen and the output of tax assessment through the tax officier**



China-Europe Public Administration Project II (CEPA II)

Measuring Quality in Staff Assessment across sector

Success Rate of Appeal against legal decisions

Approval Rate: % of approvals regarding draft documents by government

Customer Satisfaction Survey: A survey with a customer measuring the customer satisfaction after a service : A survey measuring the success rate of trainings/seminars based on the perceived opinions of the participants.
has been delivered to the customer.

Staff Satisfaction Survey

Training/Seminar Evaluation



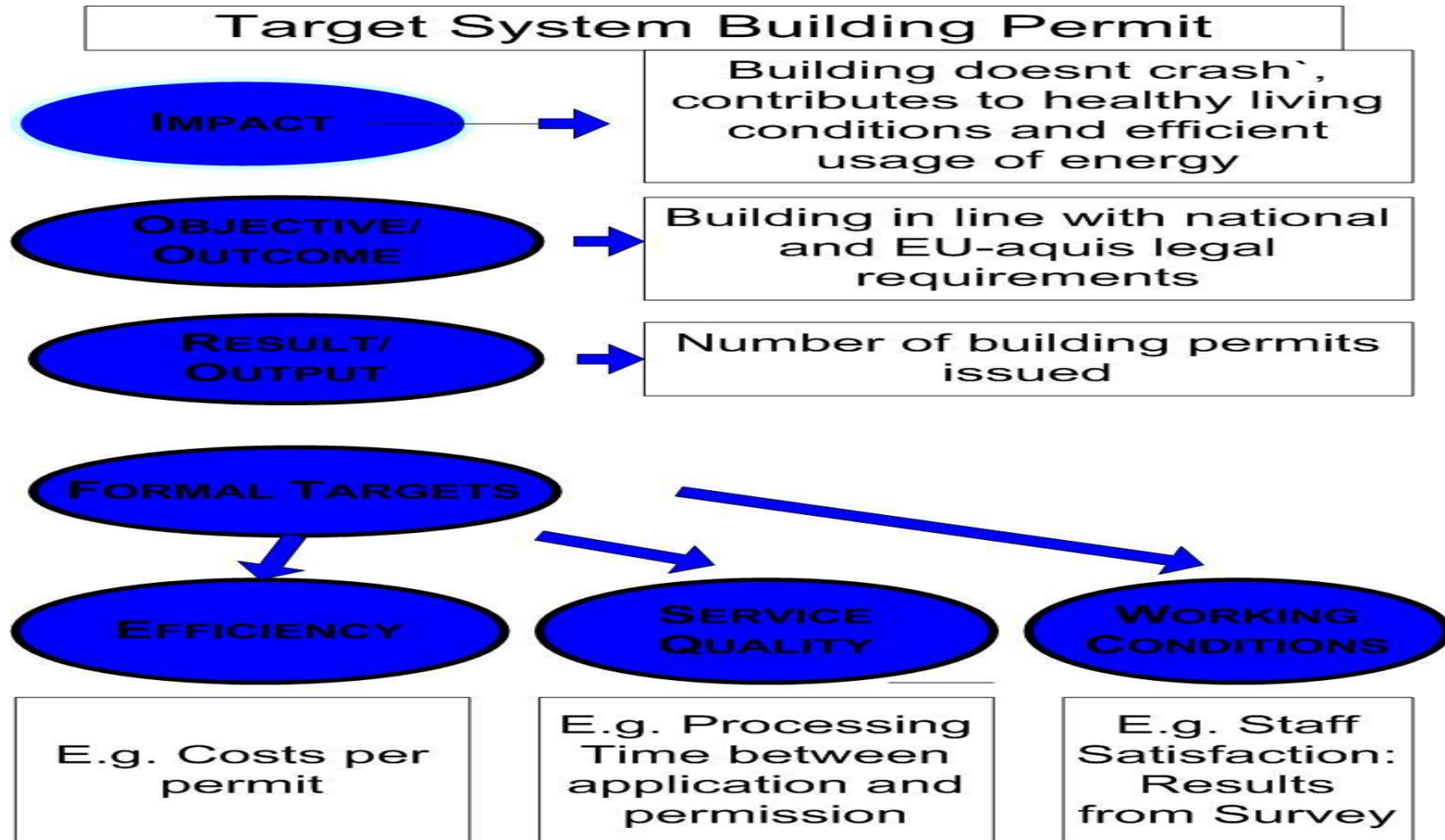
China-Europe Public Administration Project II (CEPA II)

Measuring Quality in Staff Assessment across Sectors

- “ Other Surveys. Surveys in other specialised service areas like publications, library and IT to measure the perceived quality of the service**
- “ Quality Compliance Tests: Tests made by management functions evaluating the quality of the services delivered.**
- “ Check List Compliance Tests: Tests made by the management and/or internal quality audit evaluating compliance with check lists to be followed during service delivery**
- “ Internal Quality Audit: Systematic and independent examination to determine whether quality activities and related results comply with planned arrangements, and whether these arrangements are implented efficiently, effectively and are suitable to achieve objectives**

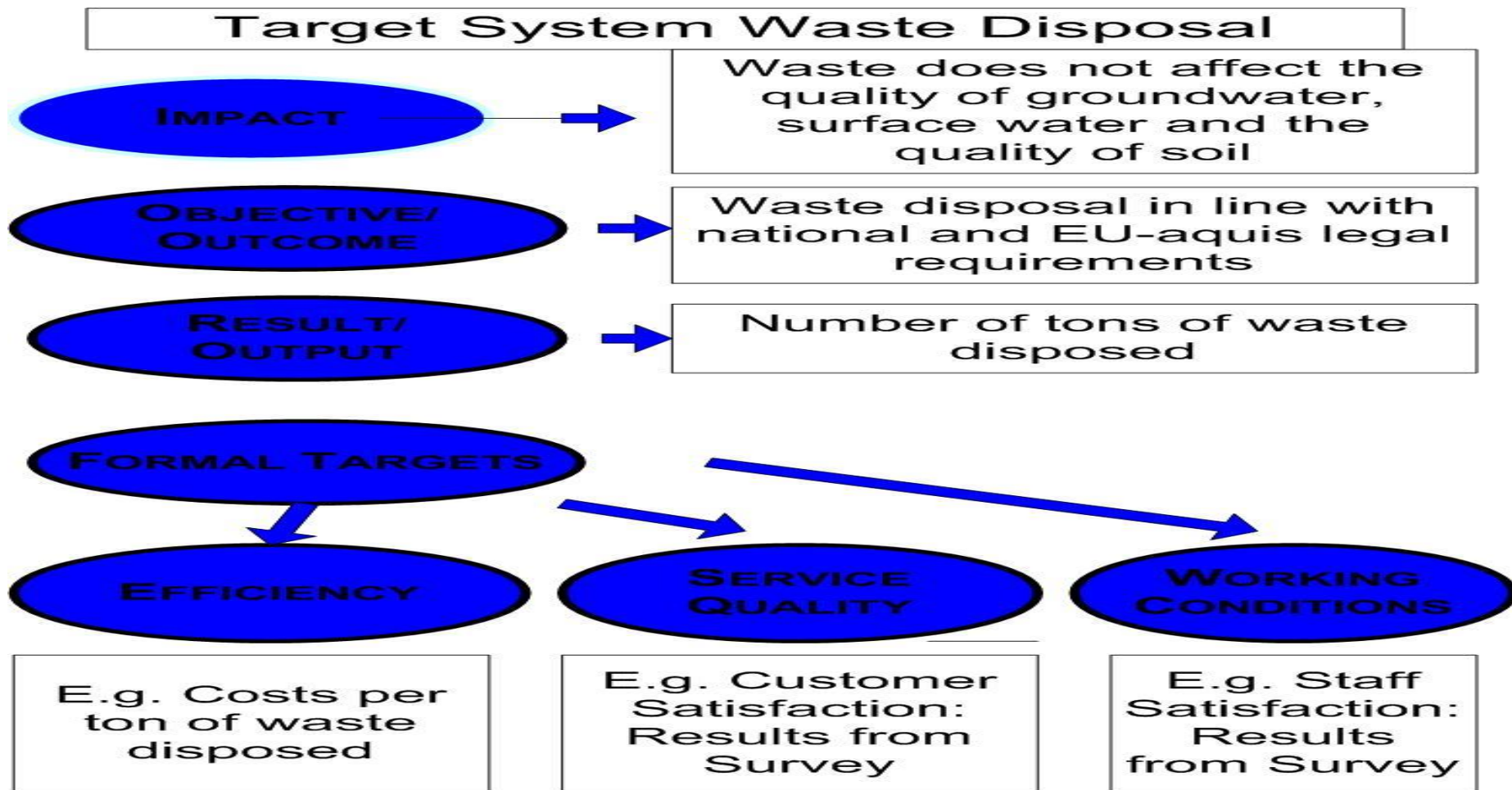


Performance Measurement for Local Government





Performance Measurement for Local Government



Their are different Types of work involved in service delivery. A substabtlial part of the work in the Headquarters of a Provincial Administration is Project and Progam based like Draft of Regulations for different purposes, Set up of a General Strategy and related Action Plans for a sector, Implementation of single projects according to Action Plan. Their sucess is best assessed both at the staff as well as at institutional level with a Logframe

Product	Project	Programme
Repeating services are provided. Often Mass Production	Solves a problem that is limited by scope and time. Is finalised with objective and result achievement	Solves several problems that are limited by scope and time. Is finalised with objective and result achievement A program consists of several projects that should have a positive impact on each other.
Can be standardized even if there are variations	Deviations regarding objectives and quality standards, type of deliverables, finance , time, target groups and beneficiaries	Deviations regarding objectives and quality standards, type of deliverables, finance , time, target groups and beneficiaries

Typical Structure of A Logframe Matrix

Project Description	Indicators	Source of Verification	Assumptions
Overall Objective – The project's contribution to policy or programme objectives (Impact)	How the OO is to be measured including Quantity, Quality, Time?	How will the information be collected, when and by whom?	
Purpose – Direct benefits to the target group(s)	How the Purpose is to be measured including Quantity, Quality, Time	As above	If the Purpose is achieved, what assumptions must hold true to achieve the OO?
Results – Tangible products or services delivered by the project	How the results are to be measured including Quantity, Quality, Time	As above	If Results are achieved, what assumptions must hold true to achieve the Purpose?
Activities – Tasks that have to be undertaken to deliver the desired results			If Activities are completed, what assumptions must hold true to deliver the results?

Example for a project planning document with a hierarchy of indicators

Project description	Indicators	Means of Verification	Assumptions
<p>Overall objective To contribute to improved family health, particularly the under 5s, and to improve the general health of the riverine eco-system</p>	<ul style="list-style-type: none"> - Incidence of water borne diseases, skin infections and blood disorders caused by heavy metals, reduced by 50% by 2008, specifically among low-income families living along the river 	<ul style="list-style-type: none"> - Municipal hospital and clinic records, including maternal and child health records collected by mobile MCH teams. Results summarized in an Annual State of the Environment report by the EPA. 	
<p>Purpose Improved quality of river water</p>	<ul style="list-style-type: none"> - Concentration of heavy metal compounds (Pb, Cd, Hg) and untreated sewerage; reduced by 25% (compared to levels in 2003) and meets established national health/pollution control standards by end of 2007 	<ul style="list-style-type: none"> - Weekly water quality surveys, jointly conducted by the Environmental Protection Agency and the River Authority, and reported monthly to the Local Government Minister for Environment (Chair of Project Steering Committee) 	<ul style="list-style-type: none"> - The public awareness campaign conducted by the Local Government impacts positively on families sanitation and hygiene practices - Fishing cooperatives are effective in limiting their members exploitation of fish 'nursery' areas
<p>Result 1 Volume of waste-water directly discharged into the river system by households and factories reduced</p>	<ul style="list-style-type: none"> - 70% of waste water produced by factories and 80% of waste water produced by households is treated in plants by 2006 	<ul style="list-style-type: none"> - Annual sample survey of households and factories conducted by Municipalities between 2003 and 2006 	<ul style="list-style-type: none"> - River flows maintained above X mega litres per second for at least 8 months of the year - Upstream water quality remains stable
<p>Result 2 Waste-water treatment standards established and effectively enforced</p>	<ul style="list-style-type: none"> - Waste water from 4 existing treatment plants meets EPA quality standards (heavy metals and sewerage content) by 2005 	<ul style="list-style-type: none"> - EPA audits (using revised standards and improved audit methods), conducted quarterly and reported to Project Steering Committee 	<ul style="list-style-type: none"> - EPA is successful in reducing solid waste disposal levels by factories from X to X tons per year



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Measuring Moral and Uprightness

The Chinese Civil Service Code and its accompanying by legislation use the following terminology with regard to Performance Assessment criteria: morality, uprightness.

“Morality is the ideological and political qualities and personal character, professional ethics, social morality and so on ... Uprightness is the honesty and self-discipline” Regulation on the Appraisal of Civil Servants (Trial)

Professional ethics encompass the personal, organizational and corporate standards of behaviour expected of Typically in the international discussion these include the following components: **Honesty, Integrity, Transparency, Accountability, Confidentiality, Objectivity, Respectfulness, Obedience to the law**
Loyalty,



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Measuring Moral and Uprightness

“**Honesty** refers to a facet of moral character and connotes positive and virtuous attributes such as integrity, truthfulness, and straightforwardness, including straightforwardness of conduct, along with the absence of lying, cheating, theft, etc. Furthermore, honesty means being trustworthy, loyal, fair, and sincere” Cited from www.wikipedia.org

“The word **integrity** evolved from the Latin adjective integer, meaning *whole* or *complete*. In this context, integrity is the inner sense of "wholeness" deriving from qualities such as honesty and consistency of character. As such, one may judge that others "have integrity" to the extent that they act according to the values, beliefs and principles they claim to hold”
Cited from www.wikipedia.org

Transparency is operating in such a way that it is easy for others to see what actions are performed.

Accountability is the acknowledgment and assumption of responsibility for actions, products, decisions, and policies both on the individual staff and the institutional level.

As far as the law requests this the staff must keep internal information of the institution and personal data of the citizens **confidential**.

Objectivity means staying neutral towards citizens.



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Measuring Moral and Uprightness

Respect is a positive feeling of esteem or deference for a person or other entity

Obedience to the law and Self discipline are more or less self explaining.

In the Annex 5 we have compared the related components to be applied in the staff assessment of **Hainan Province Fisheries Department, Hubei Provincial Administration, New Zealand Code of Conduct, Similar to UK, Australia, US**

The Hainan Province Fisheries Department is not so comprehensive as the two other models are. The two other models are very similar to each other. However the tone is somewhat different. Our personal preference would be the components from the international discussion

As moral has partly a cultural dimension we would not like to make a concrete proposal which components should be integrated. In the draft Staff Appraisal Form in Annex 5 we have integrated the components of the Hainan Province Fisheries department.



Staff Evaluation Company Cooperation

Personal skills			
Criteria			
Oral expression	7	10	70
Written expression	7	10	70
Praesentation skills	7	10	70
Problem Analysis Skills	7	10	70
Assessment Skills	7	10	70
Creativity	7	10	70
Risk taking	7	10	70
Motivation	16	10	160
Energy	7	10	70
Endurance	7	10	70
Persistence	7	10	70
Determination	7	10	70
Stress Tolerance	7	10	70
Result	100		1000
Result X Overall Weight (0,50)			250



Staff Evaluation Company Cooperation

Social skills			
Criteria			
Ability to listen	10	10	100
Sensitivity	10	10	100
Tolerance	10	10	100
Politeness	10	10	100
Warmness	10	10	100
Readyness for group work	10	10	100
Consensus achieving	10	10	100
Flexibility to adopt	10	10	100
Bargaining competence	10	10	100
Punctuality	10	10	100
Result	100		1000
Result X Overall Weight (0,50)			250



Types of competencies

There are two broad types of competencies:

“ Work-based competencies which set out what people have to be able to do if they are going to achieve the results required in the job. The areas of competence are expressed as outputs and standards of performance that must be attained in all the main elements of the job. They describe the standards required in specific roles, jobs or occupations.

“ Behavioural competencies which describe the personal characteristics and behaviour required for successful performance in such areas as interpersonal skills, leadership, personal drive, communications skills, team membership and analytical ability.



Dimension an description of competencies

Dimensions	Description
Mental skills	This dimension covers and describes the mental and intellectual capacities and abilities
Procedural Competences	This dimension covers and describes the modality how the given tasks are realized; furthermore it covers and describes the capacities and skills to organize him-/herself and the system of tasks
Professional competencies	This dimension covers and describes the professional competencies. The professional knowledge necessary for the job is not the most important point, but the competency of methods, i.e. the capacity and skills to make the necessary professional knowledge accessible.
Communication skills	This dimension covers and describes how the employee behaves in the context of other persons in the organization



Dimension and description of competencies

Leadership skills	This dimension covers and describes the behavior of a superior how he/she conducts the steering and controlling of staff and tasks. It is not separate from the other dimensions, but an own category and differs on the number of subordinated staff and the areas of responsibilities.
special professional and methodological knowledge	Knowledge that do not belong to the respective job, but can be useful for it: language skills, computer skills, training skills

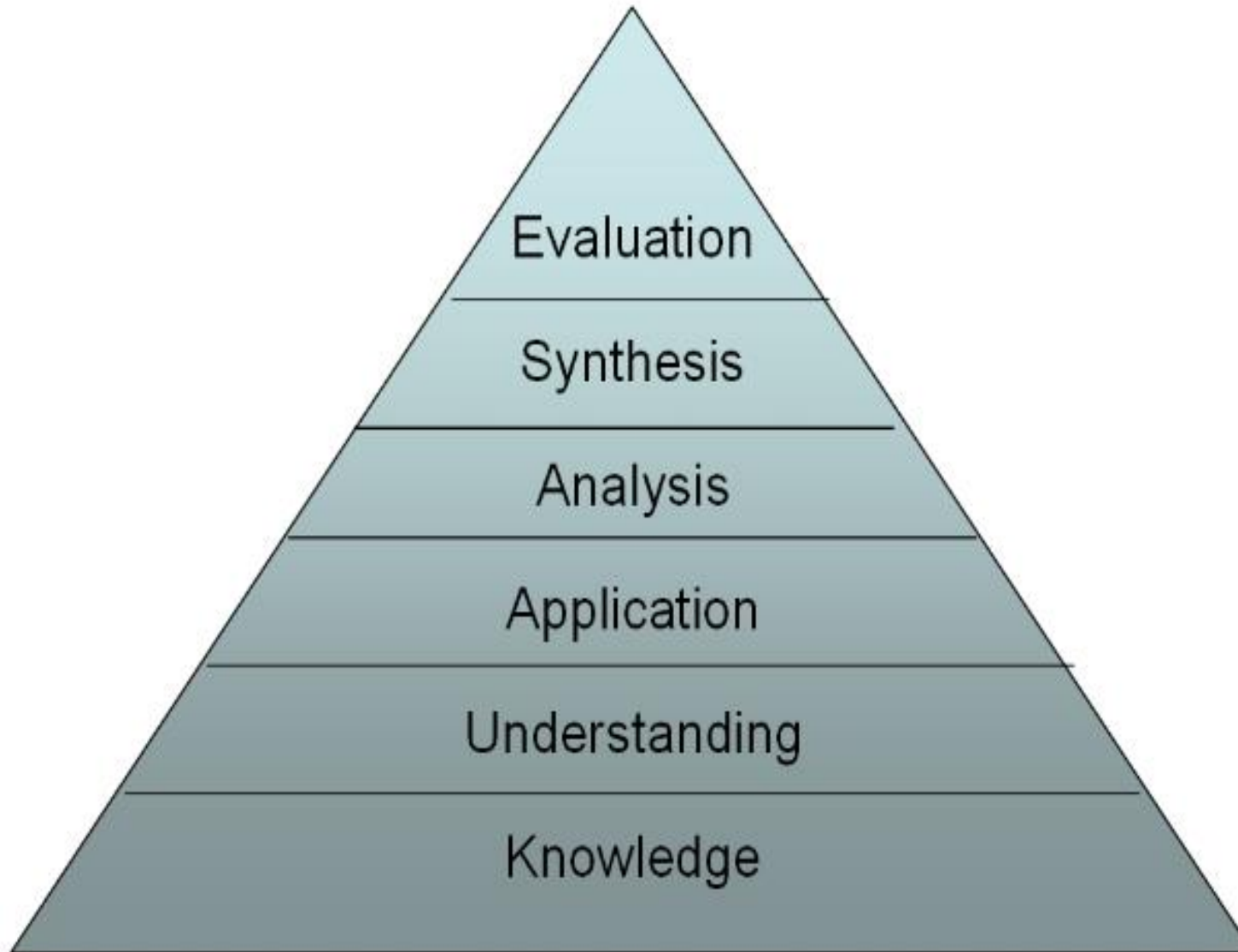
Definition of Competencies in the Hubei Province

Indicator of Competence	proportion (%) (100 percent in toatal)	Classified Competence Requirement (behavioral description)
Learning competence		
Competence in political distinguishing		
Competence in conducting surveys and investigations		
Competence in expression		
Competence in integrity		
Competence in physical and psychological adaptation		

Competence in organizing and management	
Competence in administration in strict compliance with laws and regulations	
Innovative competence	
Competence in effective and efficient public service delivery	
Competence in dealing with emergency and planning in a far-sighted way	
Competence in giving constructive advice and suggestions	



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Classification of mental skills/competencies

- “ The classification shown above should be seen as a hierarchy that moves from the basic level of knowledge to the highest level of evaluation.
- “ Example
 - . On the first level on a legal based decision you know the article in the law to be applied.
 - . On the second level you understand the contents of th article
 - . On the third level you apply the article to a single case
 - . On the fourth level you apply the impact of your decision for the client
 - . On the fifth level you compose your decision in a written form
 - . On the sixth level you evaluate all decisions you have taken regarding their impact in the society



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“Knowledge: arrange, define, duplicate, label, list, memorize, name, order, recognize, relate, recall, repeat, reproduce, state

“Comprehension: classify, describe, discuss, explain, express, identify, indicate, locate, recognize, report, restate, review, select, translate

“Application: apply, choose, demonstrate, dramatize, employ, illustrate, interpret, operate, practice, schedule, sketch, solve, use, write



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“Analysis: analyse, appraise, calculate, categorize, compare, contrast, criticize, differentiate, discriminate, distinguish, examine, experiment, question, test

“Synthesis: arrange, assemble, collect, compose, construct, create, design, develop, formulate, manage, organize, plan, prepare, propose, set up, write

“Evaluation: appraise, argue, assess, attach, choose compare, defend, estimate, judge, predict, rate, core, select, support, value, evaluate



Integrating our proposal and the legislation regarding achievements, competencies (Hubei model would be a real alternative) leadership and the dimensions for diligence of a former Central Government Regulation as well as the dimensions for ethics/uprightness of the tax offices in Hainan one could arrive at the following possible model.

This is a numeric model of up to 100 points bases the 10 digit system that most of us know best . This could be integrated in the Chinese performance assessment regulation as follows:

- " 85-100 points: Excellent**
- " 70-84 points: Competent**
- " 55-69 points: Basically competent**



Performance based payment in China

Article 16 The result of the annual assessment shall be the basis for the adjustment of the post, rank, wage, reward, training and dismissal of a civil servant.

Article 17 Cases of a civil servant with the grade of *competent* or above in annual assessments shall be subject to the following procedures:

1. A civil servant with the grade of *competent* or above for two accumulative years shall receive a wage increase of one grade higher than the standard grade corresponding to the determined rank;
2. A civil servant with the grade of *competent* or above for five accumulative years shall be promoted one rank higher than the rank corresponding to his/her assumed post;
3. A civil servant with the grade of *competent* or above and complying to other prescribed qualifications of post assumption shall be qualified for post promotion; a civil servant with the grade of *excellent* for over three consecutive years shall be given priority in post promotion;
4. A civil servant with the grade of *excellent* shall be awarded commendation in the same year; the one with the grade of *excellent* for three consecutive years shall be awarded three-grade merit; and
5. He/she shall receive an annual assessment bonus.

Regulation on the Rewards of Civil Servants (Trial). Issued by the Organizing Department of the Central Committee of the Communist Party Of China No. [2008]2 on 4 January 2008

Art.5, a civil servant or a collectivity of civil servant will rewarded under one of the following circumstances.

- (A) Dedicated, positive work, outstanding achievements;
- (B) Self discipline, integrity, style and honest, fair work, outstanding role models;
- (C) Making inventions or rationalization proposals, making significant economic or social benefits;
- (D) Promote national unity, safeguard social stability and make outstanding contributions;
- (E) Protect public property, saving state assets with outstanding results;
- (F) Prevent or eliminate accidents activity, the interests of the country and the people; minimize the loss;
- (G) Selflessly contribute to the Rescue and disasters relief;
- (H) Fight against violations of law with contributions;
- (I) Win honor and interests for the country in foreign affairs;
- (J) Other outstanding achievements.

Reward categories and Bonus Amounts

A quota of maximum 15-20 % of the staff is rewarded in the Hainan Provincial Administration to be decided by a Committee of high ranking leaders

Art.6 The rewards are categorized to:
commendation, third class merit, second class merit, first class merit, honorary titles.

For the outstanding performance,
commendation will be given;

For the outstanding contribution,
third class merit;

For the significant contribution,
second class merit;

For the prominent contribution, first
class merit.

Reward categories	Bonus Amounts(rmb)
Commendation	800
Third Class Merit	1500
Second Class Merit	3000
First Class Merit	6000
Honorary Titles	10000

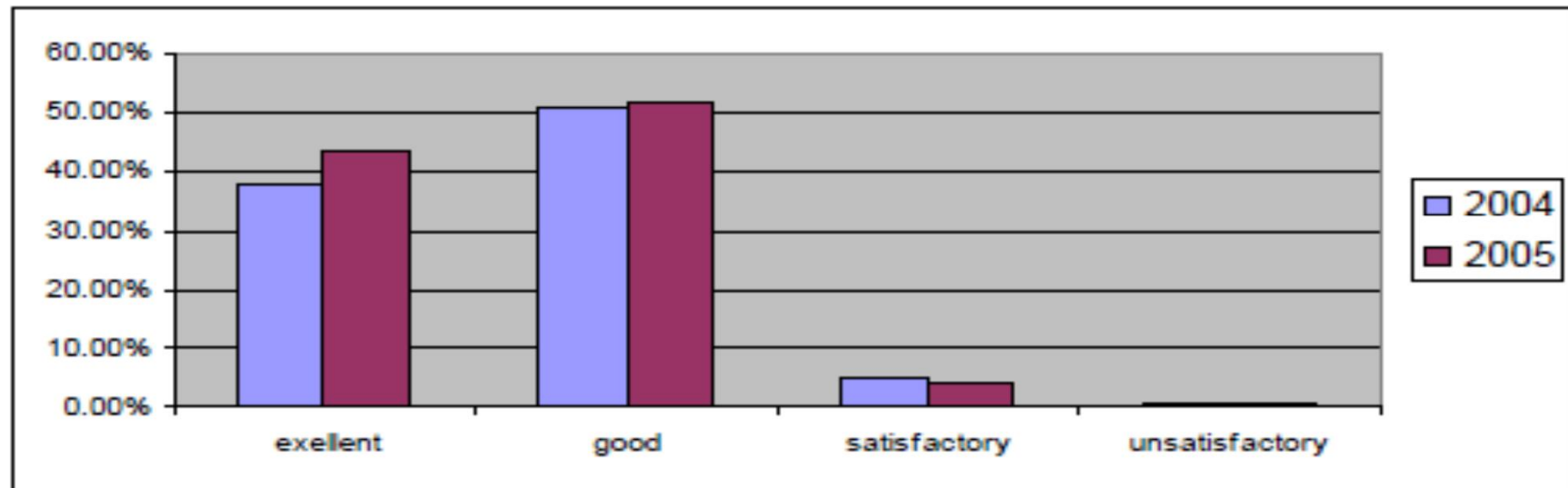


Performance based payment in Europe

In the past, most performance assessment systems did not make the individual performance assessment the focus behind the criteria. These systems frequently had symbolic value. The employees were rated very subjectively and "too good" – if rated at all. Good assessments were inflated with very low volumes of financial benefit to be distributed for nearly everybody. We have now an "individualisation" trend within the field of human resource management. Where personnel appraisal is concerned, this development leads to the introduction of individual target agreements that are embedded in a target definition system valid for the entire organisation.

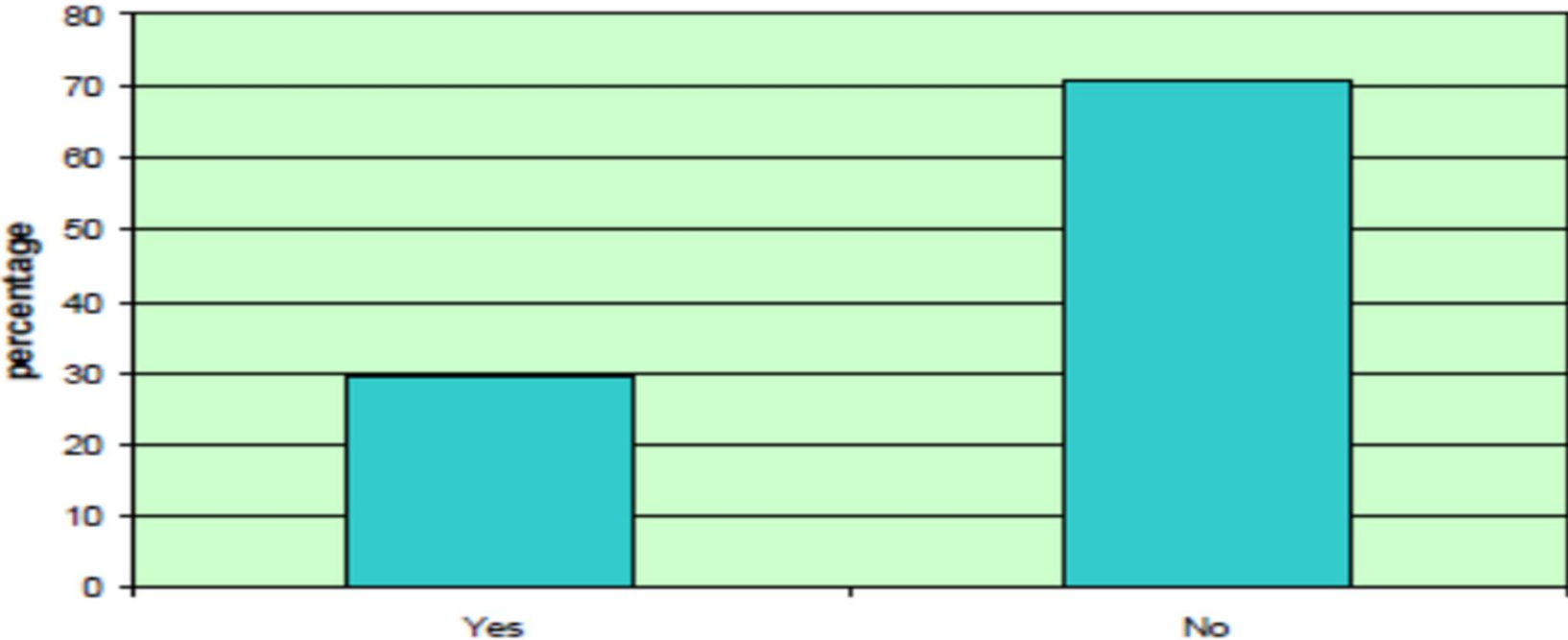
The negative example of Slovenia shows that around 90 % of the staff are assessed with excellent and good

Rating in Slovenia



Survey results show that only 30 % of the states in Europe apply a quota system

In order to avoid a “too-good” rating, do you apply a quota system?

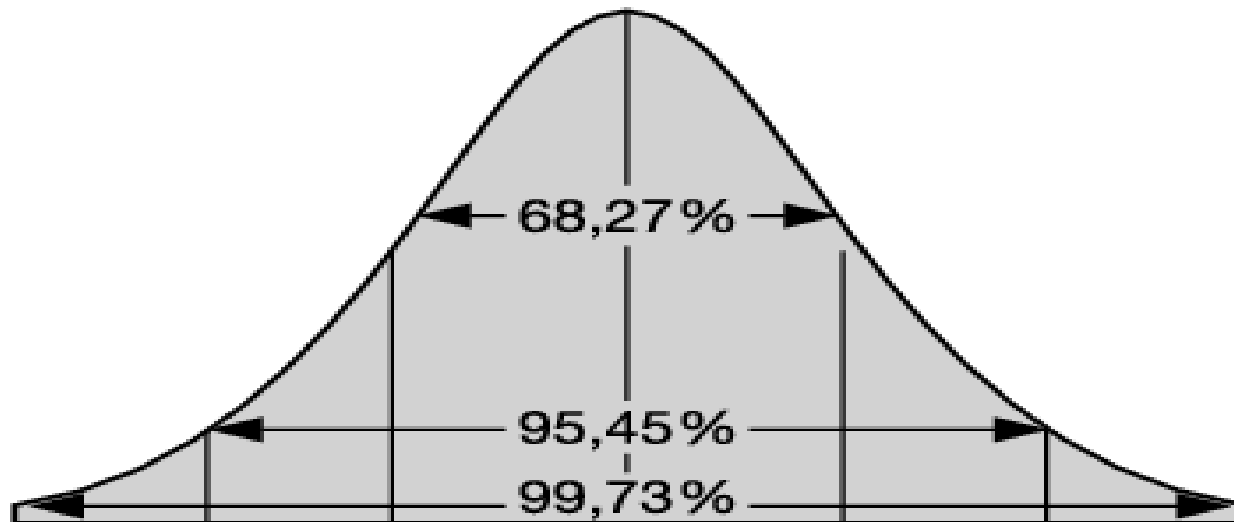


Based on the Research results of the Mathematician Gauss we can assume that in many situations of real life there is a probability distribution as shown below. If we apply this to staff assessment we can assume that normally more than half of the staff perform average A quota to be set from the Hainan Governors office for the departments and/or the whole organisation could look as follows:

25 % excellent and competent

65 % basically competent

10 % non competent not to be achieved as a „Must“



The scope of the Manual is not to demonstrate how the performance of an institution can be improved. The focus is on Institutional Performance Assessment and Indicators. If they are developed and used well this will however contribute to an improvement of the performance

A High Performance Organisation

- “ Is clear on its mission
- “ Defines outputs and outcomes
- “ Focuses on results, not on procedures
- “ Knows what it is (not) good at
- “ Has a flexible organisation
- “ Motivates its staff to succeed



China-Europe Public Administration Project II (CEPA II)

Performance Improvement Framework New Zealand

As an example for a General Framework that could be applied in all Departments of a Provincial Administration across all Sectors we have chosen the Performance Improvement Framework (PIF) of New Zealand. It is obligatory for all government agencies and executed by External Assessors. The Framework answers the question what is measured. It does not clarify what indicators should be used. This depends very much on a sectoral approach. There are only a few indicators that can be used across sectors like processing time, waiting time, appeal rate against decisions

Delivery of Government Priorities

How well has the agency identified and responded to current government priorities?

Delivery of Core Business

How effectively is the agency delivering its core business?

How efficiently is the agency delivering its core business?

How well does the agency's regulatory work achieve its required impact?

Organisational Management

How well is the agency positioned to deliver now and in the future?

Leadership, Direction and Delivery

- Vision, Strategy & Purpose
- Leadership & Governance
- Culture & Values
- Structure, Roles & Responsibilities
- Review

External Relationships

- Engagement with the Minister
- Sector Contribution
- Collaboration & Partnership with Stakeholders
- Experiences of the Public

People Development

- Leadership & Workforce Development
- Management of People Performance
- Engagement with Staff

Financial and Resource Management

- Asset Management
- Information Management
- Efficiency
- Financial Management
- Risk Management



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The external assessment is supported by a number of lead questions for the different influencing factors of performance

Results

Critical Area	Lead Questions
Government Priorities	1. How well has the agency identified and responded to current government priorities?
Core Business	2. How effectively is the agency delivering this core business area? 3. How efficiently is the agency delivering this core business area? 4. How well does the agency's regulatory work achieve its required impact?

Organisational Management

Critical Area	Element	Lead Questions
Leadership, Direction and Delivery	Vision, Strategy & Purpose	5. How well has the agency articulated its purpose, vision and strategy to its staff and stakeholders? 6. How well does the agency consider and plan for possible changes in its purpose or role in the foreseeable future?
	Leadership & Governance	7. How well does the senior team provide collective leadership and direction to the agency? 8. How well does the board lead the Crown Entity? (<i>For Crown Entities only</i>)
	Culture & Values	9. How well does the agency develop and promote the organisational culture, behaviours and values it needs to support its strategic direction?
	Structure, Roles & Responsibilities	10. How well does the agency ensure that its organisational planning, systems, structures and practices support delivery of government priorities and core business? 11. How well does the agency ensure that it has clear roles, responsibilities and accountabilities throughout the agency and sector?
	Review	12. How well does the agency monitor, measure, and review its policies, programmes and services to make sure that it is delivering its intended results?



The rating system consists of 4 categories

Strong 	Well placed 	Needing development 	Weak 	Not assessed ?
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Delivering an effective and efficient tax administration – Qualitative judgement

Performance Rating: **Well placed**

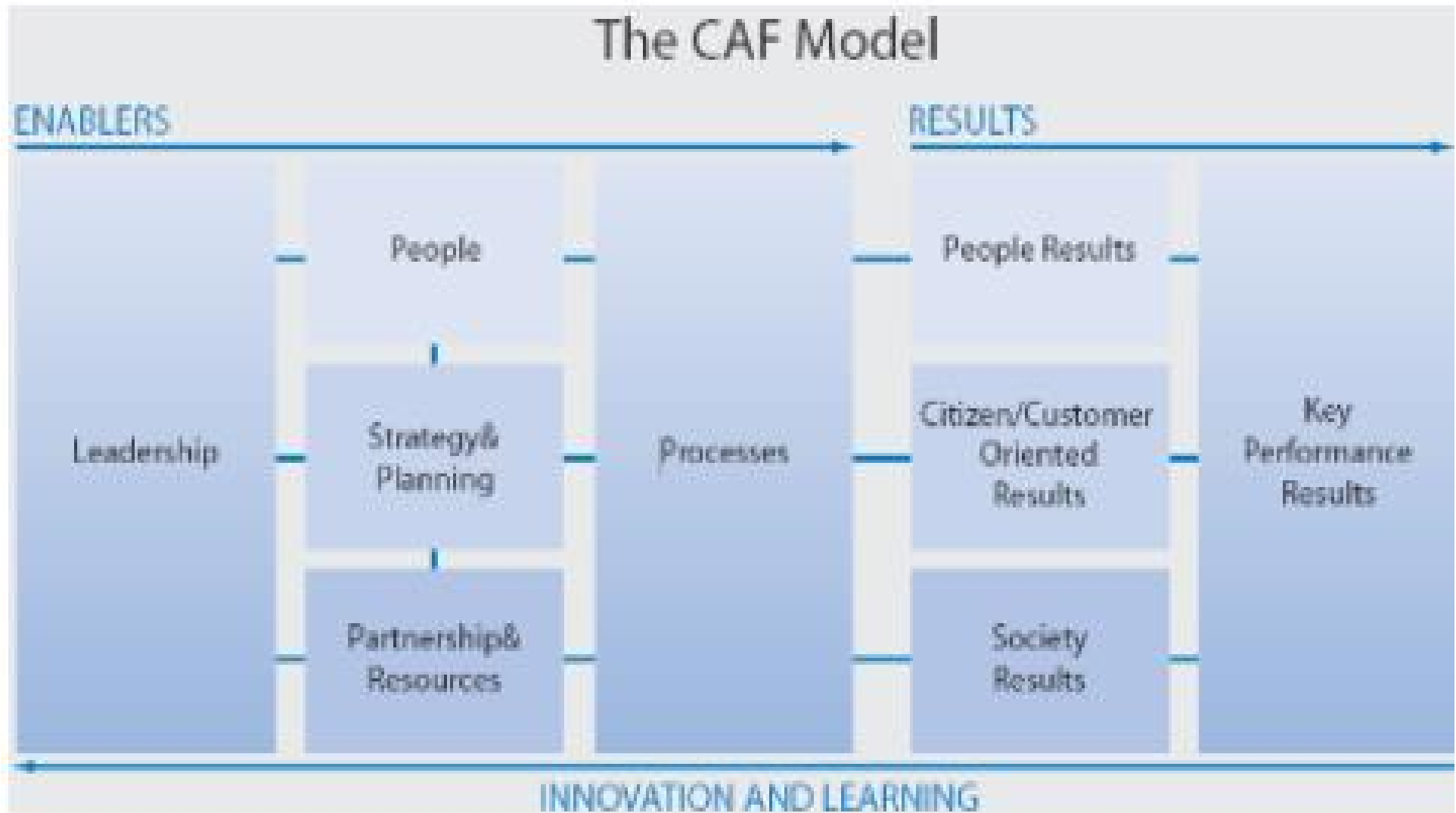
This government priority is broad in its scope and judgements about performance require a balancing of many factors. However, our view is that in recent years IR has operated a largely effective and efficient tax administration. While there are areas for improvement, such as the selection and implementation of new technology and greater attention to the management of debt, the components of the system work well together.

IR has demonstrated the ability to provide high quality policy advice, deliver good overall levels of service, respond to new challenges and maintain high levels of voluntary compliance.

The review has uncovered much information about measures of effectiveness and efficiency as they apply to tax administration. The team has also been made aware of international benchmarking studies on tax administration that include New Zealand. These, however, have raised as many questions as they have answered.



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PHASE 1: THE START OF THE CAF JOURNEY

Step 1
Decide how to organise and plan the self-assessment

Step 2
Communicate the self-assessment project

PHASE 2: SELF-ASSESSMENT PROCESS

Step 3
Compose one or more self-assessment groups

Step 4
Organise training

Step 5
Undertake the self-assessment

Step 6
Draw up a report describing the results of self-assessment

PHASE 3: IMPROVEMENT PLAN/PRIORITISATION

Step 7 Draft an improvement plan, based on the accepted self-assessment report

Step 8
Communicate the improvement plan

Step 9
Implement the improvement plan

Step 10
Plan next self-assessment

CAF Assessment Criteria Enablers are qualitative

CAF 2013

Criterion 1: Leadership

Consider what the organisation's leadership is doing to...

Sub-criterion 1.1

Provide direction for the organisation by developing its mission, vision and values

Sub-criterion 1.2

Manage the organisation, its performance and its continuous improvement

Sub-criterion 1.3

Motivate and support the people in the organisation and act as a role model

Sub-criterion 1.4

Manage effective relations with political authorities and other stakeholders

Criterion 2: Strategy and Planning

Consider what the organisation is doing to...

Sub-criterion 2.1

Gather information on present and future needs of stakeholders as well as relevant management information

Sub-criterion 2.2

Develop strategy and planning taking into account the gathered information

Sub-criterion 2.3

Communicate and implement strategy and planning in the whole organisation and review it on a regular basis

Sub-criterion 2.4

Plan, implement and review innovation and change

CAF Assessment Criteria Enablers

Sub-criterion 3.1

Plan, manage and improve human resources transparently with regard to strategy and planning

Sub-criterion 3.2

Identify, develop and use competencies of the employees aligning individual and organisational goals

Sub-criterion 3.3

Involve employees by developing open dialogue and empowerment, *supporting their well-being*

Criterion 4: Partnerships and Resources

Consider *what the organisation* is doing to...

Sub-criterion 4.1

Develop and *manage* partnerships *with relevant organisations*

Sub-criterion 4.2

Develop and implement partnerships with the citizens/customers

Sub-criterion 4.3

Manage finances

Sub-criterion 4.4

Manage information and knowledge

Sub-criterion 4.5

Manage technology

Sub-criterion 4.6

Manage facilities

Criterion 5: Processes

Consider *what the organisation* is doing to...

Sub-criterion 5.1

Identify, design, manage and *innovate* processes on an ongoing basis *involving the stakeholders*

Sub-criterion 5.2

Develop and deliver citizen/customer-oriented services and products

Sub-criterion 5.3

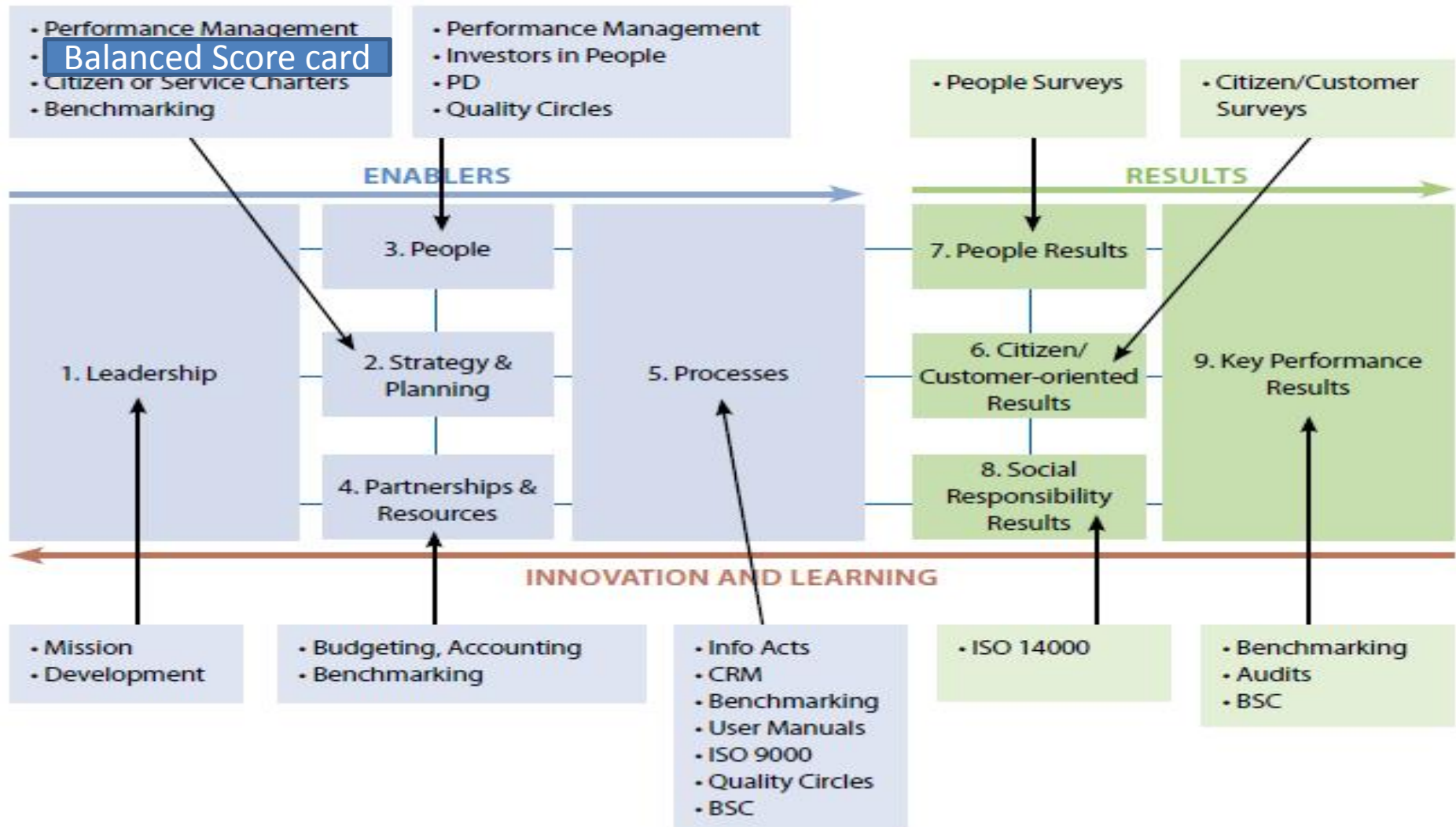
Coordinate processes across the organisation and with other relevant organisations

CAF Assessment Criteria Results

RESULTS	
CAF 2006	CAF 2013
Criterion 6: Citizen/Customer-oriented Results Consider what results the organisation has achieved (in its efforts) to meet the needs and expectations of citizens and customers through...	Criterion 6: Citizen/Customer-oriented Results Consider what the organisation has achieved to meet the needs and expectations of customers and citizens, through the results of...
Sub-criterion 6.1 Results of citizen/customer satisfaction measurements	Sub-criterion 6.1 Perception measurements
Sub-criterion 6.2 Indicators of citizen/customer-oriented results	Sub-criterion 6.2 Performance measurements
Criterion 7: People Results Consider what results the organisation has achieved to meet the needs and expectations of its people through...	Criterion 7: People Results Consider what the organisation has achieved to meet the needs and expectations of its people through the results of...
Sub-criterion 7.1 Results of people satisfaction and motivation measurements	Sub-criterion 7.1 Perception measurements
Sub-criterion 7.2 Indicators of people results	Sub-criterion 7.2 Performance measurements
Criterion 8: Society results Consider what results the organisation has achieved in respect of impact on society, with reference to...	Criterion 8: Social responsibility results Consider what the organisation is achieving in respect of impact on society, with reference to the results of...
Sub-criterion 8.1 Results of societal measurements perceived by the stakeholders	Sub-criterion 8.1 Perception measurements
Sub-criterion 8.2 Indicators of societal performance established by the organisation	Sub-criterion 8.2 Performance measurements
Criterion 9: Key performance results Consider the evidence of defined goals achieved by the organisation in relation to...	Criterion 9: Key performance results Consider the results being achieved by the organisation, in relation to...
Sub-criterion 9.1 External results: outputs and outcomes to goals	Sub-criterion 9.1 External results: outputs and outcomes to goals
Sub-criterion 9.2 Internal results	Sub-criterion 9.2 Internal results: level of efficiency

The indicators for the results have in first instance a quantitative basis

The CAF Model – Improvement Actions





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Institutional Performance Assessment is Part of the Institutional Development Cycle

Mission Statement



Strategic Development Plan



Strategic Action Plan



Projects and Programs of Institutional Development



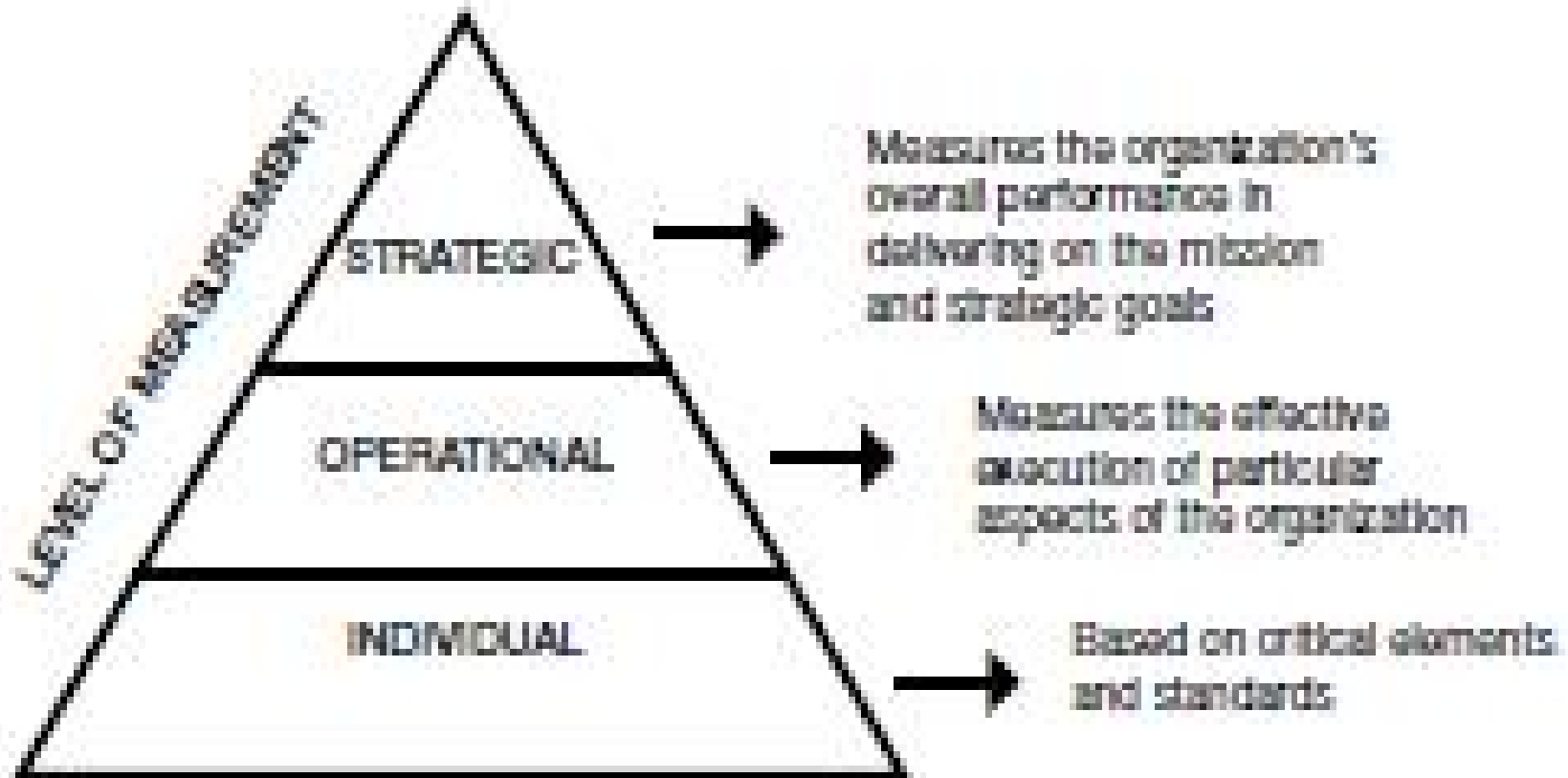
Institutional Performance Assessment is one possible Program



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Assessing Performance takes place at the strategic, operational and individual level

Measuring Performance



Again there are different Types of work involved in service delivery. A substantial part of the work in the Headquarters of a Provincial Administration is Project and Program based like Draft of Regulations for different purposes, Set up of a General Strategy and related Action Plans for a sector, Implementation of single projects according to Action Plan. Their success is best assessed at institutional level with a Logframe

Product	Project	Programme
Repeating services are provided. Often Mass Production	Solves a problem that is limited by scope and time. Is finalised with objective and result achievement	Solves several problems that are limited by scope and time. Is finalised with objective and result achievement A program consists of several projects that should have a positive impact on each other.
Can be standardized even if there are variations	Deviations regarding objectives and quality standards, type of deliverables, finance , time, target groups and beneficiaries	Deviations regarding objectives and quality standards, type of deliverables, finance , time, target groups and beneficiaries

Example: Agricultural extension and health services

ANNEX 1: Logical framework matrix in standard format

LOGFRAME PLANNING MATRIX FOR Project Fiche		Project title and number		Agriculture and Food Safety: 9 – 2013 / 02
		Contracting period expires three years after the signing of Financing Agreement		Execution period expires two years after the signing of the contract
		Total budget	€ 17.6 million	
		IPA budget:	€ 12.1 million	
Overall objective	Objectively verifiable indicators (OVI)	Sources of Verification		
To increase agricultural and food production, productivity and competitiveness in the farm sector and agribusiness, and rural incomes as well as to improve public health and the economic performance of the livestock sector through improved planning and management of animal health and veterinary public health programmes.	<p>Agricultural production and export statistics</p> <p>Kosovo statistics of GDP for rural municipalities</p> <p>Improved quality of advisory and technical laboratory services, increased competitiveness of farmers and increased income generation.</p> <p>Increased detection rate in country for imports and exports</p> <p>Decreased number of rejections of Kosovo plant products at borders/boundaries</p> <p>Number of effective incorporation of Kosovo experts in key international working groups</p> <p>Improved herd performance and decreased losses with regards to clostridia diseases</p> <p>Reduced incidence and prevalence of Brucellosis in humans and animals</p> <p>Improved quality and range of laboratory services offered by the FVA</p> <p>EU compliant system of organic waste</p>	<p>Kosovo statistical data</p> <p>Final implementation evaluation of ARDP</p> <p>Import/Export statistics</p> <p>Annual animal health report</p> <p>Annual reports of MoH and Kosovo Food and Veterinary Agency.</p> <p>ISO 17025 certificate</p> <p>Approval certificate of operation;</p> <p>Technical design documents of the equipment and processes;</p> <p>Acceptance certificates</p>		

Example: Agricultural extension and health services

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	collection and disposal is in place and functional		
Specific objective	Objectively verifiable indicators (OVI)	Sources of Verification	Assumptions
<p>To upgrade the technical and administrative capacities of the paying in order to perform EU compliant administrative checks and controls for the agriculture subsidies.</p> <p>To upgrade and strengthen the capacity (administrative and technical) of the new MAFRD tasks in order to successfully advise agricultural (livestock and crops) activities and their value chains in Kosovo, leading to further harmonization with EU.</p> <p>To improve processing and marketing, hygiene, quality and food safety standards and environmental protection in order to strengthen the compositeness of the agricultural and rural development sector, increase market share and consumer confidence into local products.</p> <p>To promote sustainable development of rural economy by encouraging non-agricultural activities, that can lead to higher rural income, job-creation, and to the reduction of the disparities between the rural and the urban areas</p> <p>To increase KVFA capacities in developing and implementing sound and financially viable animal health programs and, therefore, to reduce incidence and prevalence of targeted diseases in human and animal population.</p> <p>To improve performance of the food and veterinary laboratory by introducing and validating up-to-date test methods and accreditation with internationally recognized quality management system;</p> <p>To enable a safe disposal of ABPs through completion and operationalization of rendering plant in Kosovo. .</p>	<p>Reports on Administrative Controls and functionality of administrative checks using sLPIS and Farmers register.</p> <p>Reorganized field extension services are in place, trained and fully capable of performing tasks as defined by the law on agriculture advisory services.</p> <p>Improved agriculture production and introduction of new technologies, farm management practices and technologies.</p> <p>% Increased employment in the sector and to non- agriculture activities % market share gained locally and regionally</p> <p>25-30 grant contracts implemented</p> <p>Annual animal health control programmes. Cost benefit –analysis of the animal health measures.</p> <p>Sero-surveillance reports</p> <p>List of newly introduced and validated test methods, including confirmatory tests. Monthly report on the organic waste disposal.</p>	<p>Annual Managing Authority Reports.</p> <p>Auditing Reports</p> <p>Progress reports</p> <p>SAP dialogue</p> <p>FVA and Project progress reports.</p> <p>Cost –benefit analysis report.</p> <p>Epidemiological reports issued by the project and animal health department.</p> <p>List of laboratory equipment purchased and installed.</p> <p>Number of animals vaccinated and tested.</p> <p>Technical approval certificate;</p> <p>Visual inspections.</p>	<p>IT Resources are available</p> <p>First two phases of the rendering plant are successfully and timely completed.</p> <p>Co-financing budget is timely provided.</p> <p>Sufficient staff is made available for the implementation of project activities.</p>



China-Europe Public Administration Project II (CEPA II)

Institutional Performance Assessment across sectors

Most institutional Performance Indicators are sector based. They support the political strategic and operational goals of a sector based institution. However there are a number of indicators that can be used across sectors:

- “ Compliance Rate of Performance Assessment for Staff (daily, quarterly, 6 months, yearly**
- “ Customer Satisfaction measured with a survey**
- “ Staff Satisfaction measured with a survey**
- “ Average time for the completion of business processes**
- “ Average waiting time at the counter**
- “ Average waiting time at the telephone (no answer, waiting for answer**



China-Europe Public Administration Project II (CEPA II)

Institutional Performance Assessment across sectors

- “ **% of formal complaints against legal decisions**
- “ **% of legal complaints decided in favour of the clients**
- “ **% of legal complaints decided in favour of the administration**
- “ **Cost/Expenditure per Service/Product**
- “ **Completeness of Customer Registration in the manual or computerized system**
- “ **Income generated from fees if feasible**
- “ **% return rate of outstanding arrears**
- “ **Total number of contacts (E-Mail, Letters, Telephone conversation, verbal communication**
- “ **Evaluation of training results by the Trainees**
- “ **Results from standardized tests**
- “ **Positive results from audit**
- “ **Sickness rate of staff at different levels of the organisation**



China-Europe Public Administration Project II (CEPA II)

Tax Administration: Typical Performance Measures at the Operational Level

The system of institutional performance we present was developed by the IMF and is very complex. In the real life it should be reduced to 10 of even less indicators like in the example of Romania as shown below



Tax Administration: Typical Performance Measures at the Strategic Level

- Total net revenue collected by tax type compared to forecast
- Total expenditures compared to approved budget
- Ratio of costs to collections (direction)
- Filing and payment compliance rates (direction)
- Income reporting compliance (from audit)
- Taxpayer satisfaction surveys



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Tax Administration: Typical Performance Measures at the Operational Level

Tax administration functions	Quantity measures	Timeliness and quality measures
Registration and filing compliance	Number of new registrants Number of non-filers by tax type	Average time to complete new registration Average time to resolve non-filer case Late penalties assessed Accuracy of taxpayer register
Taxpayer services and education	Total Number of taxpayers assisted <ul style="list-style-type: none"> • Telephone • Walk-in Written correspondence <ul style="list-style-type: none"> • E-mail • Internet site hits Number of advisory visits Number of educational seminars	Average taxpayer wait time for service Average time to respond to written taxpayer requests Accuracy of responses provided Utility of visits and seminars (determined by surveys)



China-Europe Public Administration Project II (CEPA II)

Tax Administration: Typical Performance Measures at the Operational Level

<p>Returns processing and payment</p>	<p>Number of returns processed, by tax type</p> <p>Number of refunds issued, by tax type</p> <p>Percentage of returns filed electronically</p> <p>Percentage of returns filed by paper</p> <p>Number of payments processed (manually and electronic)</p> <p>Total value of payments processed</p>	<p>Average processing time</p> <p>Average number of days to issue a refund</p> <p>Return processing accuracy/ error rate</p> <p>Payment processing accuracy/ error rate</p>
<p>Arrears collection</p>	<p>Total value of arrears collected</p> <p>Total number of collection cases closed</p> <p>Total number of taxpayers contacted</p> <p>Total resources (person years) assigned</p> <p>Average annual collection per person year</p>	<p>Average age of collection cases</p> <p>Percentage of cases resolved within X months</p> <p>Collection case quality (based on specific scoring tools)</p>



China-Europe Public Administration Project II (CEPA II)

Tax Administration: Typical Performance Measures at the Operational Level

<p>Audit and investigations</p>	<p>Number of audits completed by tax type (and by taxpayer segment where applicable)</p> <ul style="list-style-type: none"> • Simple • Comprehensive • Thematic • Etc. <p>Additional tax assessed by audit, by tax type</p> <p>Total resources (person years) assigned</p> <p>Additional tax assessed per person year</p> <p>Number of investigations completed</p>	<p>Average time to complete audit by type of audit</p> <p>Audit quality (based on specific scoring tools)</p> <p>Average time to complete an investigation</p>
<p>Appeals</p>	<p>Total number of appeals cases closed</p> <p>Total resources (person years) assigned</p> <p>Value of adjustments on appeal</p> <p>Number of cases heard by courts</p>	<p>Average length of appeals case</p> <p>Appeals case quality (based on specific scoring tools)</p> <p>Degree to which legal deadlines are met</p>



China-Europe Public Administration Project II (CEPA II)

Tax Administration: Typical Performance Measures at the Operational Level - Romania

12 indicators was developed, including for each the name of the indicator, the goal to be achieved, the method of computing the indicator (scope and formula), and the reporting frequency. These indicators were:

- % of letters answered within 20 days
- Level of voluntary compliance for returns filing
- Level of voluntary compliance for payment
- Enforced collection amounts from large taxpayers
- Revenue collected versus revenue expected
- % revenue collected through enforced collections
- Average annual audits per tax auditor
- Additional amounts assessed from audit
- Additional amounts assessed from audit per auditor
- % of tax assessments appealed
- % of appeals in favor of taxpayer
- % of appeals in favor of the tax administration.



China-Europe Public Administration Project II (CEPA II)

Tax Administration: Typical Performance Measures at the Operational Level - Romania

- The data were produced, but management did not pay attention to them. There were no consequences associated with changes (good or bad) in the performance indicators. Eventually, system fell in to disuse.
- Few indicators had standards or targets. As a result it was very difficult to judge whether progress was being made.



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China-Europe Public Administration Project II (CEPA II)

Institutional Assessment Education E

**The following example is taken from the
Community College of Allegheny County in
the USA.**

**It is highly complex and we just present
some basics.**

**The terminology is somewhat different from
the one we used before**



China-Europe Public Administration Project II (CEPA II)

Institutional Assessment of Higher Education - Accessibility

Accessibility is our mission, and is defined many ways including affordability, distance traveled, and choice. Is the college affordable? Do the people who need financial aid receive assistance? Is there a campus within reasonable proximity? Do people utilize distance learning? Is CCAC the college of choice for our students? In general, the college is accessible. Our students report that CCAC is their college of choice, it is affordable, and 70% of our students travel 10 miles or less to get to school. Distance education enrollment is increasing on an annual basis. Twenty-six percent of our students receive financial aid; a 49% increase in the total number of recipients in the last five years.



China-Europe Public Administration Project II (CEPA II)

Institutional Assessment of Higher Education & Student Success

Student Success is at the heart of the mission, vision, values and goals. Do our students meet their goals? Does the college provide services to help students meet their goals? The college provides many services to help students achieve their goals, but students reported less satisfaction with support programs in 2002 than 1992; the number of students utilizing college services decreased in the same ten-year span. The Office of Supportive Services has experienced an increase in the number of students registered for assistance. Developmental students' success in college level courses varies from year to year and English appears more successful than Math. Retention rates and credit accumulation have remained steady over the last four years. The number of certificates and degrees awarded are on the rise. In general, CCAC students report satisfaction with the quality of education.



China-Europe Public Administration Project II (CEPA II)

Institutional Assessment of Higher Education - Inclusiveness

Inclusiveness measures diversity and demographics. Does the college reflect the demographic profile of the community? Does the college respect people as individuals? How do the students and employees feel about inclusiveness? Students are satisfied with the level of racial harmony at the college according to the 2002 student opinion survey. Students report satisfaction with concern for individuals, and employees report satisfaction with respect for individuals at the college. The demographic profile of the college is similar to Allegheny County's profile. CCAC ranks third in African-American enrollment among colleges in Pennsylvania. The majority of our students are traditional college age. The majority of continuing education students range in age from 25 – 54.



China-Europe Public Administration Project II (CEPA II)

Institutional Assessment of Higher Education - Inclusiveness

The **Workforce** category includes forming partnerships that foster economic development and providing career programs that meet the needs of students and employers. How many students are in occupational programs? Are graduates prepared to enter the workforce? Do our students accomplish their personal goals? The number of students enrolled in apprenticeship programs peaked in 2001-02 and has been declining ever since. More than half of CCAC's students are enrolled in occupational programs. In general, students are satisfied with their program of study and most graduates report achieving their career related objectives. Enrollment in computer instruction is down and has been decreasing for the last three years.



Student Success

A learning environment that fosters the success of all students [value]

An exemplary learning community where all individuals can develop their full potential [vision]

Indicator:

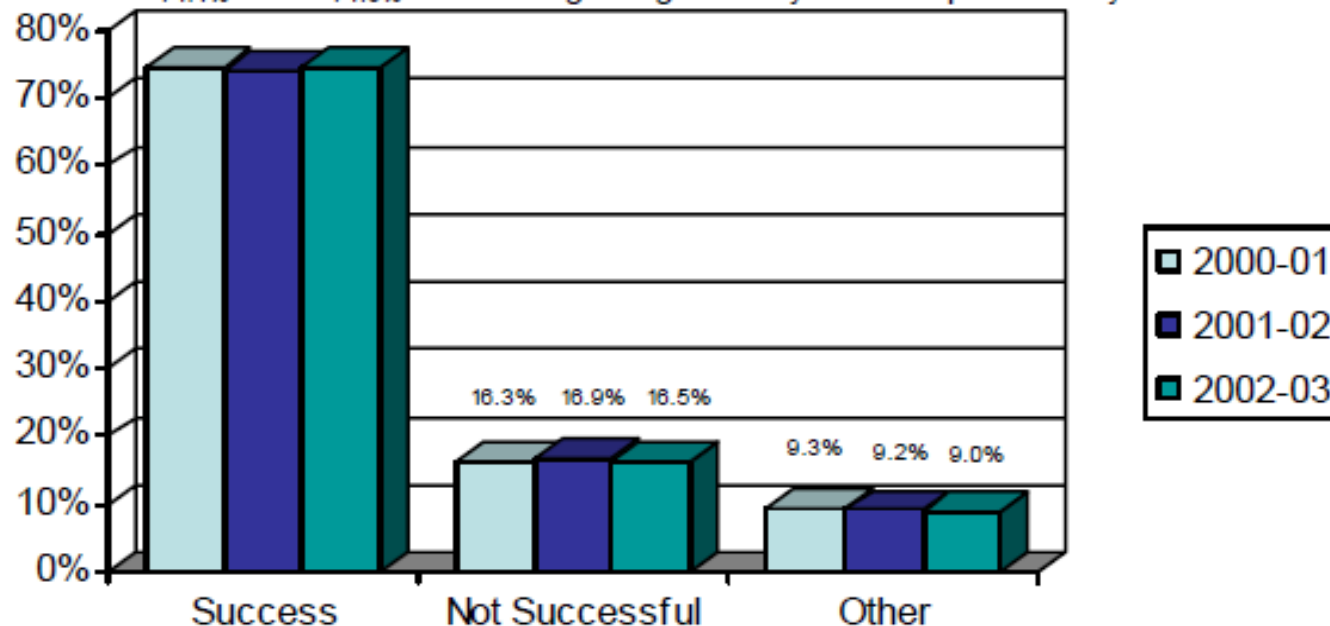
- Course level success

Measure:

- Grade achieved. Notes: Success = A, B, C, P; Not Successful = D, F; Other = withdrawal, incomplete Source: Colleague

Observations:

- The success and withdrawal rates have not changed significantly over the past three years.





Student Success

To deliver support programs to help students achieve their goals [goal]

Indicator:

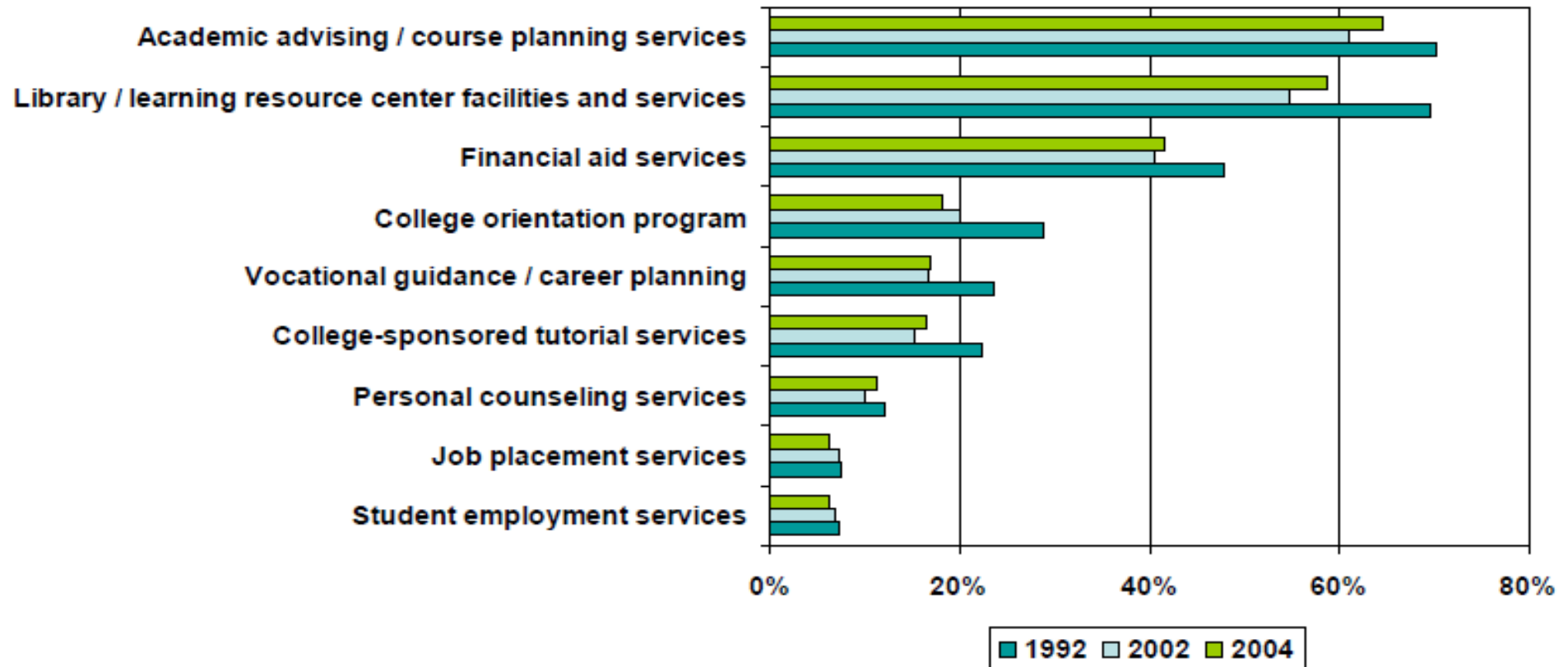
- Students use college services.

Measure:

- Percentage of students that report using college support services. Source: ACT student opinion survey

Observations:

- Use of some services has increased in the last two years.





Teachers Assessment, Students Assessment and Institutional Assessment of Education measurement + indicators are different categories as the following example shows.

Classroom Observation Score

- » Teachers observed multiple times each year by members of the TAP Leadership Team using TAP Rubrics.
- » All observations followed by a post-conference meeting, and announced observations preceded by a pre-conference.
- » Teachers also have the opportunity to rate their own performance.



Teachers Assessment, Students Assessment and Institutional Assessment of Education measurement + indicators are different categories as the following example shows.

Classroom Student Growth Measures

- » Students take state standardized assessments in tested grades and subject areas to create achievement scores.
- » Schools receive achievement scores from the state and send them to an outside vendor, or use the district's method for calculating student growth, and then transform these scores into 1-5 scale.
- » Teachers create student learning objective assessments for grades and subject areas without standardized assessments.



Teachers Assessment, Students Assessment and Institutional Assessment of Education measurement + indicators are different categories as the following example shows.

Schoolwide Student Growth Measures

- » **Students take state standardized assessments in tested grades and subject areas to create achievement scores.**
- » **Schools receive achievement scores from the state and send them to an outside vendor, or use the district's method for calculating student growth, and then transform these scores into 1-5 scale.**



China-Europe Public Administration Project II (CEPA II)

Institutional Assessment Human Resources Department

**In Germany the following dimensions of HRM are
measured with Indicators:**

Qualified, motivated, flexible Personnel

- “ Training of staff/leader**
 - “ % of Personnel Costs**
 - “ Number of days for staff/leaders**
 - “ % of staff/leaders participation**
- “ % of internal staff fluctuation**
- “ Age structure**
- “ Staff Survey of job satisfaction**

Attractivity of the working place

- “ % of turnover to other organisations**
- “ % of internal mobility during the first year**
- “ % of applicants in comparison with open positions**



China-Europe Public Administration Project II (CEPA II)

Institutional Assessment Human Resources Department

**In Germany the following dimensions of HRM are
measured with Indicators:**

Optimisation of Personnel Costs

- " Costs of typical personnel administrative services**
- " % of staff being ill**
- " % of deviation from budgeted personnel costs**
- " Actual staffing in comparison with planned staffing**

Equal access

- " % of women in leading positions for different levels
and branches**
- " % of handicapped occupied**



China-Europe Public Administration Project II (CEPA II)

Institutional Assessment of City Administration – The model of Bertelsmann

Cities should achieve the following targets:

- “ Cooperation with the civil society and identification of the citizens with the city**
- “ Promotion of economic development and creation of jobs**
- “ Promote social well being and cultural life**
- “ Promote education and learning for the whole lifespan**
- “ Guarantee sustainable environmental conditions**



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Cooperation with the civil society and identification of the citizens with the city - Indicators

19 indicator covering identification with the city (survey), membership and engagement in social and sport clubs, political parties and movements (survey), identification with the local political system (survey, election data), relations with the neighbourhood (Survey), moving to and away from the city (official statistics), index of life quality



China-Europe Public Administration Project II (CEPA II)

Promotion of economic development and creation of jobs

25 indicators covering percentage of staff in different sectors and locations (official statistics), unemployment rate and duration (labour statistics), New economy (statistics), evaluation of attractiveness for companies (survey) purchasing power (statistics), local tax income (statistics), number of tourists staying overnight (statistics)



China-Europe Public Administration Project II (CEPA II)

Promote social well being and cultural life

25 indicators covering satisfaction with local administrative services (survey), housing conditions (statistics, survey), state social help for different target groups (statistics), criminality (statistics), satisfaction with cultural offers (survey), care for elders (statistics) mortality rate based on different type of diseases



China-Europe Public Administration Project II (CEPA II)

Promote education and learning for the whol lifespan

**14 indicators covering percentage of sucessful students in
the different branches of education (statistics separately for
Germans and students with migration background),
Satisfaction with education and training offers (Survey)**



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Guarantee sustainable environmental conditions

6 indicators covering satisfaction with environmental conditions (survey), water consumption and quality, land usage for different purposes (statistics). In a more recent version the number of indicators has been increased to 26.



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**Thank you for your attention and for your
patience in listening to/ reading my
presentation**

