Workforce planning

iDeA 45%

25% time

SUCCESS

TEAM

Vision

Mission

Process review

Service charters

Organisational Development/ Corporate Planning

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Partnership to Engage, Reform and Learn

Part 1: Introduction to the Corporate Planning Toolkit

The Public Service Management Suite comprises two sections; Corporate Planning and Human Resources Management. The Suite was originally developed by State Partnership for Accountability, Responsiveness and Capability (SPARC) but has been revised, updated and adopted by Partnership to Engage, Reform and Learn (PERL).

The Corporate Planning Part

A Corporate plan in the public sector is a "service improvement plan" that examines the internal capabilities of an organisation to take advantage of external opportunities therefore presenting a road map to move the organisation in the right direction. It is essentially a process used by organisations to map out a course of action that will result in improvements in the delivery of public goods and services.

Corporate Planning is a process in which an organisation (ministry, department or agency) determines its objectives, priorities, functions and structure in the light of its mandate. The process determines how the organisation arranges and applies its resources (human, financial, material) to achieving its objectives, meeting its service delivery standards and the employees meeting their defined targets. Specifically, a corporate plan guides the management and staff of the organisation in a cohesive effort to carry out the organisation's mandates.

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The Corporate Planning Guidance Pack/ Part

The Corporate Planning Guidance Pack sets out processes for government functions and structures and maps out a course of action that will result in effective and efficient delivery of public goods and services. Government officials involved in corporate planning may use the materials in the pack as they are or may adapt them as necessary to enhance their relevance to their specific situations.

Corporate planning as a strategic tool guides MDAs to establish their vision, mission, long-term goals, medium-term objectives and strategies aimed at ensuring that it achieves its goals of quality service delivery. A corporate plan also includes specific actions and steps towards making the MDA fit for purpose.

For corporate planning to succeed, the following are critical:

- Relationship management, including obtaining buy-in from decision makers
- Flexible implementation to reflect the diversity of circumstances in states and in MDAs
- Maintaining the pace and momentum of the process
- A focus on building MDA readiness and capacity to ensure that public servants can participate effectively
- A need at certain stages to help public servants not only participate but also draw out learning from the process
- Mechanisms for engagement and cross-working throughout the corporate planning process
- Learning and sharing within and between MDAs and states.

This pack should be used by government officials whose roles support corporate planning in their MDAs. The materials are available to be used as they are but can also be adapted as necessary to enhance relevance to specific state situations. It presents a short and simple corporate planning process to be undertaken in six main stages, ideally over a three to six-month period as follows:

- Stage 1: Preparation

- Stage 2: Defining Purpose and Strategic Direction

- Stage 3: Functional, Process, Systems and Structural Reviews

- Stage 4: Establishment Planning, Workforce Planning and Job Descriptions

- Stage 5: Performance Management

- Stage 6: Corporate Plan Implementation

Figure 1: Illustration of Part 1: Corporate Planning

Part 1: Organisation Development/ Corporate Planning
- Preparation
- Defining Purpose and Strategic Direction
- Functional, Process, System and Structural Review
- Establishment Planning & Workforce Planning
  - Replacement Planning
  - Succession Planning
- Performance Management
- Corporate Planning Implementation

Resource materials contained in the accompanying Toolkit have been expanded to include guidance and presentations to assist with each stage of the process as follows:

Stages of Corporate Planning

Stage	Guidance	Time frame
Stage 1. Preparation	This involves the following: · Obtain approvals for the CP process from the management of the MDA. · Set up 'internal technical team' within the MDAs to work with the Technical Working Group. · Complete a readiness for change checklist, which will help assess the MDA's readiness and preparedness to embark on the process. · Carry out a sensitisation exercise for all stakeholders (introduce them to Corpo rate planning) and agree on an action plan to carry out the CP process. · Review relevant documents, such as laws or instruments establishing each MDA, relevant policy documents (state development plan, sector plans, circulars), etc.	2 weeks
Stage 2. Defining Purpose and Strategic Direction	· Carry out a step-by-step review of mandates. · Articulate the vision, mission, and Core values statements. · Set long-term goals, medium-term objectives. · Agree the strategies outlining how the objectives will be achieved. This should be done after establishing the context through a PESTLE/SWOT analysis.	2 weeks
Stage 3. Functional, Process, Systems and Structural Review	· Carry out a step by step review of functions of the MDA, its processes and systems; and · Review the structure to ensure it will enable the performance of the reviewed functions.	1 month
Implementation of recommendations arising from the completion of stages 2 and 3)	Stage 4 is contingent upon the realignment of the systems and structure in response to stages 2 and 3. It is therefore imperative that before commencing stage 4, such recommended realignment has occurred. With strong leadership commitment and determination, this shouldn't take more than 6 weeks. Furthermore, the implementation of the recommendations will indicate management commitment to the corporate planning process and would otherwise save the use of resources in continuing the process where such commitment is lacking.	3 weeks

Stage 4. Establishment and Workforce Plans & Preparation of sample Job Descriptions (JD)	• Carry out a step by step review of existing establishment (posts) and workforce (number, skills mix and deployment). This would be done through job evaluation, personnel records review and interviews where necessary • Make recommendations (retain, train, redeploy, and/or deploy which includes employ) to address immediate and future workforce gaps. • Once establishment planning has been completed, job descriptions need to be prepared. At this point, existing job descriptions for existing posts will be reviewed and revised if necessary. • For new posts, job specifications and grades will have to be created. Once the job specification has been approved, a fuller job description should then be developed. • At the end of workforce planning, every job holder should have a job description.	3 months
Stage 5. Performance Management	Performance management within an MDA has two facets; for managing organisational performance and for managing employee performance. Organisational performance can be managed by developing and implementing service charters. Employee performance on the other hand, is concerned with performance appraisal and evaluation. Job descriptions are an integral tool for effective employee performance management	2 weeks
Stage 6: CP implementation plan	A CP implementation plan details how the CP would be implemented. It provides details on: • Results required (output, outcome and impact), • Key Performance Indicators, • Timeframes, • Responsibilities, • 'Dependency relationships' with other MDAs; and • Crosscutting issues.	3 weeks

The materials in each section are outlined below.

Part 1 – Corporate Planning

S/N	Folder Title	Document Title	Type of Document	Document Code
1.		Part 1: Introduction to the Corporate Planning Toolkit	Word	01
2.	Stage 1: Preparation	Corporate Planning Concept Note	Word	1B
		Readiness for Change Checklist		1C
		Model Corporate Planning Timetable		1E
		Sample Terms of Reference for CP Steering Committee		1F
		Sample Terms of Reference for CP Technical Working Committee		1G
3.	Stage 2: Defining Purpose and Strategic Direction	Checklists & Examples for Setting Vision, Mission and Value Statements	Word	2A
4.	Stage 3: Functional, Process, Systems and Structural Reviews	Step by Step Guide to Functions, Structure and Process Reviews	Word	3A
				3D
		Examples of Simple and Complex Process Flowcharts		
5.	Stage 4: Establishment Planning, Workforce Planning and Job Descriptions.	Step by Step Guide on Establishment and Workforce Planning	Word	4A
		Replacement and Succession Planning Concept Note		4.1A
6.	Stage 5: Performance Management	Guide to Producing Service Charters	Word	6A
		How to Improve Service Delivery	PDF	6D
7.	Stage 6: Corporate Plan Implementation	Corporate Planning Implementation Process	Word	5A
8.	Sample Templates and Tools	Introduction to Corporate Planning & Process Overview	PowerPoint	1A
		CP Sensitisation Exercise Template	Word	1D
		Sample Corporate Plan	Word	1J
		Articulating the Mandates, Vision, Mission, Core Values	PowerPoint	2B
		Guidance & Template for SWOT, LTG & Medium-Term Objectives	Word	2C
		SWOT Analysis, Long-Term Goals, Medium-Term Objectives & Strategies	PowerPoint	2D
		Functions, Structure and Process Reviews Presentation	PowerPoint	3B
		Guidance and Templates to Assist with Process Review	Word	3C
		Establishment and Workforce Planning Presentation	PowerPoint	4B
		Establishment and Workforce Planning Template	Word	4C
		Replacement and Succession Planning Presentation	PowerPoint	4.1B
		Succession Plan Guidance and Templates	Word	4.1C
		Replacement Plan Template	Word	4.1D
		Developing and Implementing a Service Charter Presentation	PowerPoint	6B
		Sample Service Charter	Word	6C
		Sample Corporate Planning Training Manual	Word	6D

Acronyms and definitions

BPSR	Bureau of Public Service Reforms
CP	Corporate Planning
CSC	
ERC	Education Resource Centre
EXCO	Executive Council
FAD	
G&SI	Gender and Social Inclusion
HC	Honourable Commissioner
HOS	Head of Service
HRM	Human Resource Management
HRMIS	Human Resource Management Information System
ICT	Information and Communication Technologies
KPI	Key Performance Indicator
LTG	Long-Term Goal
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MED	
MEPB	Ministry of Economic Planning and Budget
MoE	Ministry of Education
MOF	Ministry of Finance
MOW & INFRA	Ministry of Works and Infrastructure
MTEF	Medium Term Expenditure Framework
MTFF	Medium Term Fiscal Framework
MTFS	Medium Term Fiscal Objectives
MTOs	Medium Term Objectives
MTSS	Medium Term Sector Strategy
OHOS	Office of the Head of Service
PERL	Partnership to Engage, Reform and Learn
PESTLE	Political, Economic, Social, Technological, Legal and Ecological
PIB	Performance Improvement Bureau
PR	Public Relations
PS	Permanent Secretaries
SC	
SDP	State Development Plan
SDU	Service Delivery Unit
SERVICOM	Service Compact
SIPs	Service Improvement Plans
SPARC	State Partnership for Accountability, Responsiveness and Capability
SWD	
SWOT	Strength, Weakness, Opportunity and Threat
TOR	Terms of Reference
TWP	Technical Working Group
WC	Working Group
WG	Working Group

Contents

Stage 1: Preparation

Corporate Planning Concept Note

Definition and Concept of Corporate Planning

'Corporate Planning is a process in which an organisation (ministry, department or agency) determines its objectives, priorities, functions and structure in the light of its mandate. The process determines how the organisation arranges and applies its resources (human, financial, material) to achieving its objectives, meeting its service delivery standards and the employees meeting their defined targets. Specifically, a corporate plan guides the management and staff of the organisation in a cohesive effort to carry out the organisation's mandates.'

International best practice shows that organisations are fast evolving and changing globally. Clarity in how organisations arrange their duties and functions and how they plan their workforce is therefore necessary. Therefore, a good structure appropriate to government business in which organisation's mandates and responsibilities are clear, are an essential prerequisite for public service management and reform. A fundamental first step in Public Service Management and in improving government performance and accountability is for the organization to develop or validate its existing mandates, vision, mission and core value statements thereby creating a clearer picture of the organisation as the foundation for the introduction of a corporate plan (CP). This will be followed by articulating long-term goals and medium-term objectives which form the basis for developing service standards, defining strategies, outputs, outcomes and key performance indicators. These conclude the first stage of the CP process.

The second stage is to identify how functions, systems and processes are determined and where staffers are deployed. The functions, processes and systems as confirmed will therefore drive the proposed structures of the organisation. This leads to the third stage which is reviewing the current posts and determining the new establishment based on the departmental functions and structures. The Establishment plan will inform the review of the current workforce and the gaps identified in the workforce will be addressed to ensure the organisation performs optimally. Government employees do not, in the main, have clear job descriptions and performance targets, and therefore do not have a direct 'line of sight' to the mandate of their organization. This affects organisational performance. It is important for each employee to have their job descriptions which form the basis of developing each employee's targets for performance assessment.

Corporate Planning

CP should add meaningful value to the organisation and importantly CP will signal the changes that may be needed to improve organisational performances.

The corporate plan should enable the organization to better determine and understand:

Figure 2
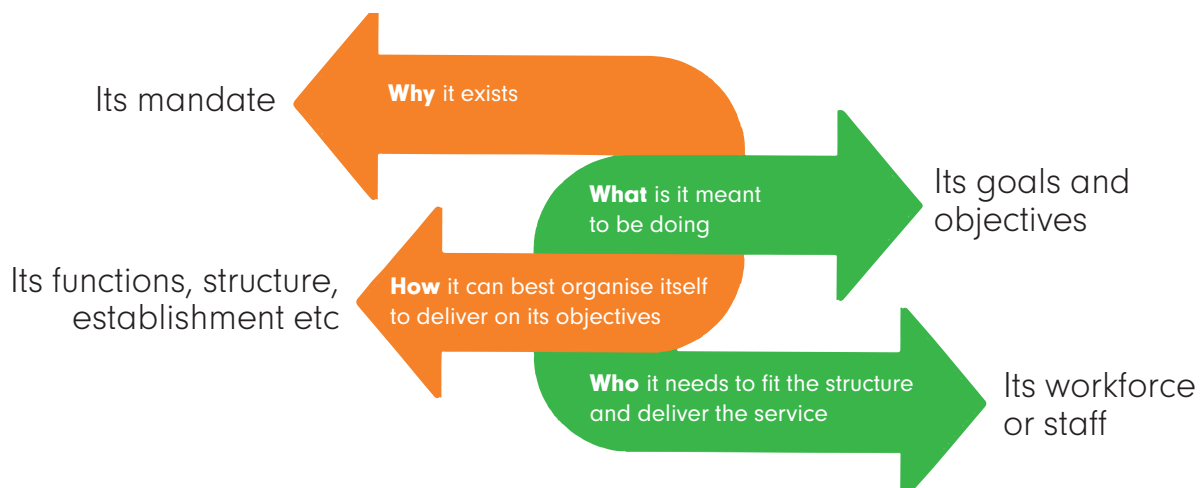
The corporate planning process therefore pulls together mandate, policies, strategic direction, stakeholder expectations, resource allocations (financial and human), and evaluation criteria which are used for organizational and individual performance assessments. CP is a review and re-organisation process usually carried out in response to a recognised need or desire for change. It allows an organisation to put in place the 'golden thread' that links every job and job holder's performance to the respective organisation's mandates with a focus on improving service delivery and governance. A corporate plan is therefore a living document which should be reviewed regularly, e.g. every five years to ensure that the organisation is still in charge of its mandate and is organised optimally to deliver its mandate.

Corporate Planning Framework

The Corporate Planning model framework can be best understood by breaking it down into four core stages (excluding the preparation stage) and an implementation plan. The CP begins with a confirmation of an organisation's mandate and ends with a detailed workforce plan, and individual performance management. The process is summarised in Figure 3 below.

Figure 3: The Corporate Planning Framework
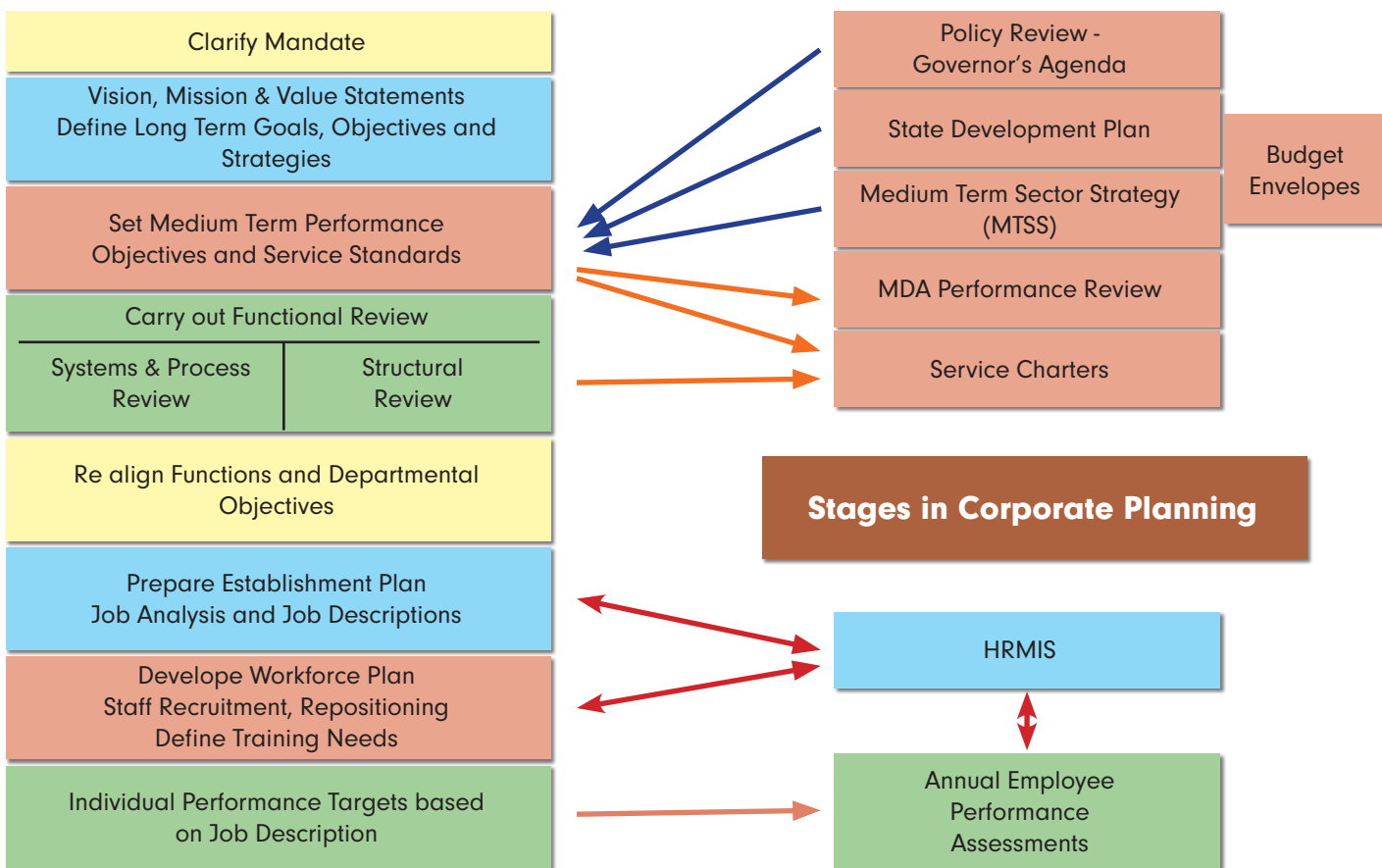
The organisation's **mandate** is usually confirmed by the highest levels of government through the Constitution, a law or other legal instrument. Based on its mandate, an organisation can develop its **vision and its mission statements** which articulate the sense of organisation's direction and travel for employees and the its clients. Thereafter, the organization identifies its long-term strategic goals – the priority services and outcomes it considers it should deliver over a 5 to 10-year time horizon based on analyses of the developmental challenges confronting it. These long-term strategic goals set the scene for the formulation of more precise medium-term objectives. They also offer a strategic perspective on whether the organization will have the right volume and types of skills to deliver expected goods and services.

The medium-term performance objectives take account of political manifestos, short- to medium-term priorities, likely budget and other resource envelopes. They are usually set for a three to five-year time horizon and revised annually to take account of novel issues, and implementation performance. The medium-term objectives should normally be set with performance standards against which actual organisational performance can be measured. They can also be used as the basis for public service agreements or service charters – contracts of service delivery commitments made by organisations to the public. Delivering on the medium-term performance objectives and long-term strategic goals require a mix of well-planned financial and human resources. At the objectives formulation stage, the budget is needed, and its availability should also have been identified and agreed.

The next stage is how to organise the functions, systems, processes and structures of the organisation. The starting point for reorganisation is to conduct functional, process, systems and structural reviews which involve clarifying core functions (derived from the mandates and medium-term objectives), identifying service delivery processes, and ultimately re-aligning the structure of the organisation (the departments, units etc.) so they can most effectively and efficiently deliver these functions using the processes. The end of this stage is deciding on the overall structure of the organization and its departments.

During the next stage, the human resources of the organization will be reviewed in more detail for each department, section, and unit vis-à-vis the staff. The result is to produce an Establishment plan for the organization. This involves identifying the key posts, analysing jobs, drawing up job descriptions and linking the jobs to the salary grades based on the budgets. The Establishment plan will form the basis for developing a Workforce plan, that is, matching existing workforce with the new Establishment plan. This will highlight those areas requiring repositioning of staff, workforce training, and/or recruitment (internally or externally) and will culminate in the preparation of a Workforce plan. Ultimately each employee will have a clear job description from which annual targets can be derived which will provide the basis for individual performance assessment. The workforce plan will also enable the organization to provide individual career development and training plans for its employees.

Corporate Planning and Organisation Performance

A corporate plan guides the management and staff of the organisation in a cohesive effort to carry out its mandate. The goal is to enhance individual, directorate, organization and sectoral performance. How corporate planning fits with the bigger picture of organization and sector performance, including public service accountability to citizens is illustrated below in figure 4.

Figure 4: The Corporate Planning in the contect of general wider reforms

Performance and Corporate Planning
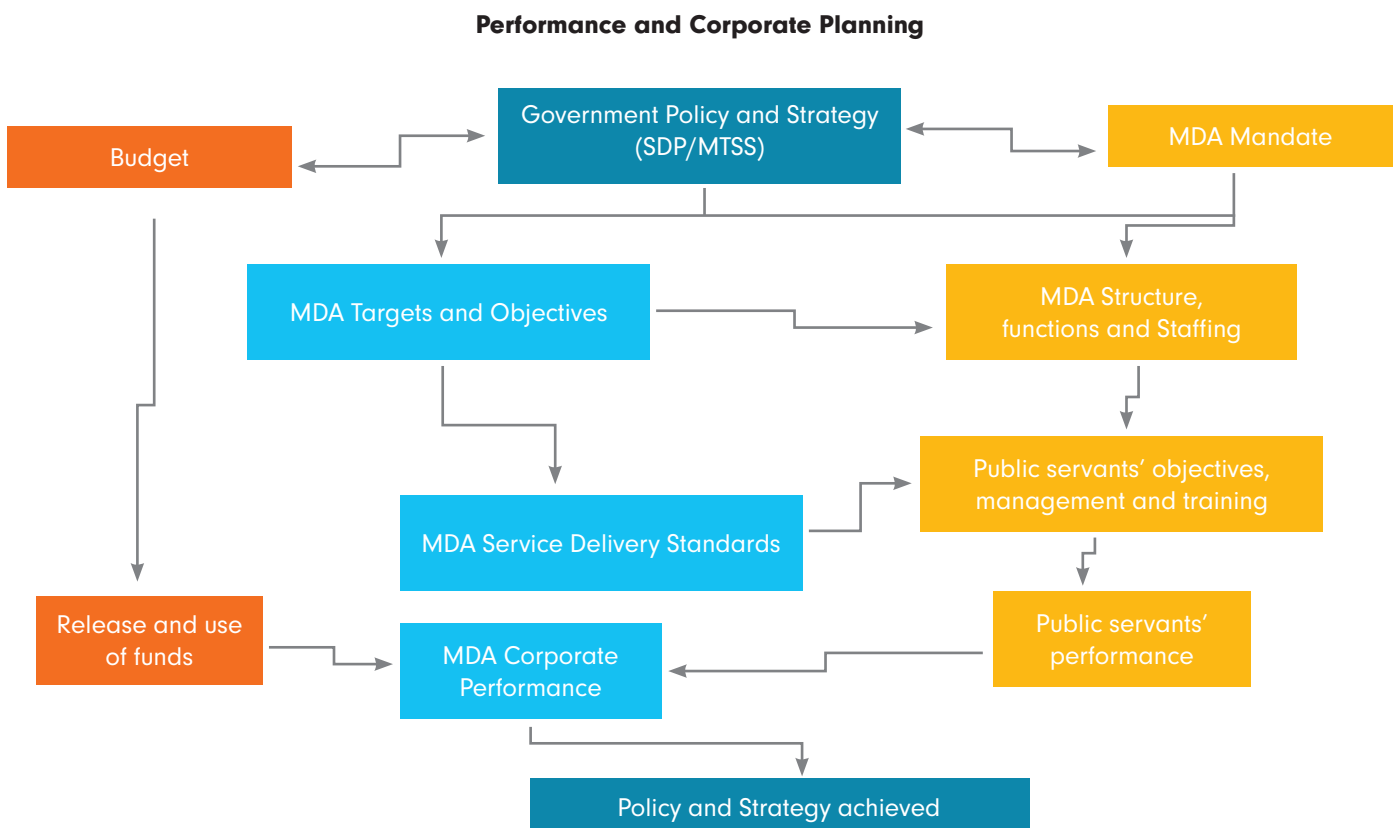
Corporate Planning: Transformation and Change Management

Corporate planning is a process of enabling the organisation to be more agile in the present fast-moving world where institutions are being constantly challenged to keep pace with modern organisational developments. Change is all pervasive in terms of expectations, technologies, attitudes, politics, resource availability etc. Organisations therefore need to recognise that:

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

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

- A sustainable approach to CP needs vision and leadership authority, both of which can only come from top management;
- Whilst top management should drive the process, they should do it by facilitating, guiding and enabling rather than simply imposing;
- People need to understand the reasons and objectives of the corporate planning process and see a plan for its implementation, so management knows the direction it is heading;
- Communication and openness are essential to obtaining agreement and support from people within the system;
- These imply a need for face-to-face communication, vertical (bottom-up and top-down) and horizontal communication across the organisation, as well as the traditional written guidance to staff;
- Corporate planning should, if managed successfully, inject energy into the organisation.

Introducing Corporate Planning into State organisations

Once pilots have been identified, the following are the steps for CP:

1. Establish a top-level Steering Group to oversee the CP process,
2. Establish a designing and implementing group (Working Group) to lead in developing and implementing the plan in pilot organisation(s),
3. Develop a simple communication strategy which will be used throughout the developing and implementing phases,
4. Clarify and communicate the mandate,
5. Establish vision, mission and value statements,
6. Scan the environment using the SWOT/PESTLE tool and situational analysis,
7. Establish long-term goals, medium term objectives and performance criteria,
8. Set medium term objectives and performance standards,
9. Develop a service charter,
10. Conduct functional, systems, process and structural reviews,
11. Develop an Establishment and workforce plans,
12. Produce and communicate the Corporate Plan,
13. Identify and document lessons that have wider application in the state's organisations.

The Corporate plan formats

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

Figure 5: The benefits to be derived from Corporate Planning

Benefits of Corporate Planning

Benefits for the State
- Confidence that the purpose and arrangements of the organisations has been subjected to rigorous review and made clear to top management and staff,
- Better understanding and articulation of long term and medium-term strategies and planning across the specific organizations,
- Clarity about staffing across the organisations and where changes may need to be made,
- The mechanism to keep the organizations under regular review.

Benefits for the organisation
- A holistic understanding of the organisation's purpose, goals, objectives, functions, structures and staffing issues,
- A clearer link between resources and organisation's purpose and objectives,
- Information about current and future jobs, skill needs and staffing,
- Individual performance targets linked to organizational objectives and performance,
- The means to better monitor performance and adjust plans.

Benefits for individual employees
- A clearer understanding about the role and function of their organization,
- A clearer understanding about their jobs and how they can contribute to the organisation's performance
- More personal motivation and recognition for their contribution to the organisation's performance,
- Training and development that is related to jobs and personal capability and capacity.

Readiness for change checklist

Figure 6: Checklist

☑	1. Define goals and benefits
☑	2. Identify existing change; Scope and pilot change agenda
☑	3. Establish a Corporate Planning steering group/committee or other decision-making body
☑	4. Decide on the organisations to be involved in the pilot
☑	5. Conducting the Corporate Planning: applying the methodology
☑	6. Identify a champion and agree potential roles of reform agencies
☑	7. Agree and implement results
☑	8. Managing change: Effective communication, open and transparent for effective decision-making and problem solving

Readiness for Change

Define the goals and benefits

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

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

Identify existing evidence e.g. on mandate reviews

If a mandate mapping exercise has been completed there may be preliminary evidence of gaps and possible overlaps. These should be communicated and used in the Corporate Planning reviews.

Scope and pilot the change agenda

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

Establish a Corporate Planning steering group/committee or other decision-making body

It will be necessary to establish a senior, state level decision-making 'Corporate Planning committee' or other structure with responsibility and authority for driving the reforms and effecting change. In some states a reform steering committee may already exist and responsibility for Corporate Planning could be assigned to this, or to a sub-committee of this. These responsibilities could perhaps be usefully outlined in formal terms of reference to ensure clear accountability. The decision body should drive the pace of the work and hold those doing the review to account.

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

A sensitisation briefing based on a communication strategy developed earlier will allow the decision-making bodies, and every key stakeholder to understand and contribute to the scope and implementation of Corporate Planning.

Decide on the organisations to be involved in the pilot

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

Some of the key decisions to be made are noted below:

- What is the precise purpose of the pilot? Will the pilot organisations be the 'showcase' for others or a test bed for the methodology?
- Which organisations will take part in the pilot and how will they be identified?
- Will the organization be able to absorb the demands on them – are they already at capacity for handling change?
- How long should the pilot Corporate Planning process last?
- What mechanisms exist, or need to be established, to coordinate, manage and monitor progress and logistics during the pilot?
- Who else will be involved e.g. central Corporate Planning technical support team, Reform or Transformation Bureau staff; Office of the Head of Service staff? Will these staffers be released?
- Who will the organisations nominate to do the work during the pilot? Will they be released from their day duties?
- What training and/or sensitisation need to take place prior to the pilot launch?
- How to keep people informed and enthusiastic and maintain momentum during the pilot process?

It is important you decide the pilot(s) which will start on [date] and be completed by [date].

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

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

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

Conducting the Corporate Planning: applying the methodology

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

Need for a champion

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

Potential roles of reform agencies

It is essential in the partnership working to make use of existing or new central reform agencies, e.g. Office of the Head of Service, Human Resources department; Reforms and Performance Improvement Department; Performance Improvement Bureau; Office of Transformation; Bureau of Public Service Reform etc.

A trained central resource is vital to ensure the manageability of the process for each organisation, and is the best guarantee of sustainability since, ultimately, the state reform agencies are likely to take responsibility for rolling out Corporate Planning for the state. Careful briefing, some training and working with the agencies and departments, hand-holding and coaching should be an integral part of the Accountability, Responsiveness and Capability (ARC) support to Corporate Planning.

However, this requires careful planning and some caution because:

Figure 7

Lack of significant technical or organisation development expertise means that these agencies run the risk of delivering poor quality work, and confuse or even damage perceptions of the process.

The roles and direction of these agencies may be contested, making it difficult for them to act authoritatively;

The agencies may have other duties and be reluctant or unable to release staff, putting undue strain on the timetable for completing the Corporate Planning;

The agencies may lack the capacity (both in terms of staff numbers and the skills) to carry out the work;

Agreeing and implementing the results

Approval
It is expected that once the Corporate Planning pilot has been completed the senior decision-making body would prepare a formal report on the recommendations arising from applying the Corporate Planning framework and propose roll-out for approval by the Head of Service (HOS) and or Executive Council (EXCO) as appropriate. Once approved, preparations for further implementation can begin.

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

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

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

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

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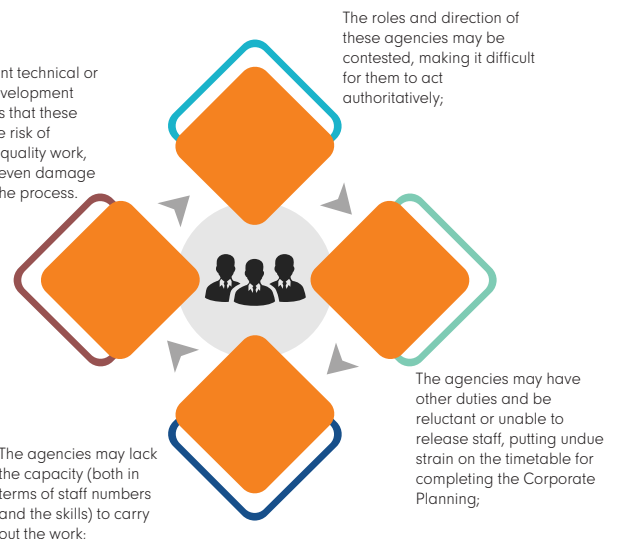
Government support and championing change

It is worth remembering that successful implementation of any proposed reforms will depend to a large extent on the state government's continued willingness to:
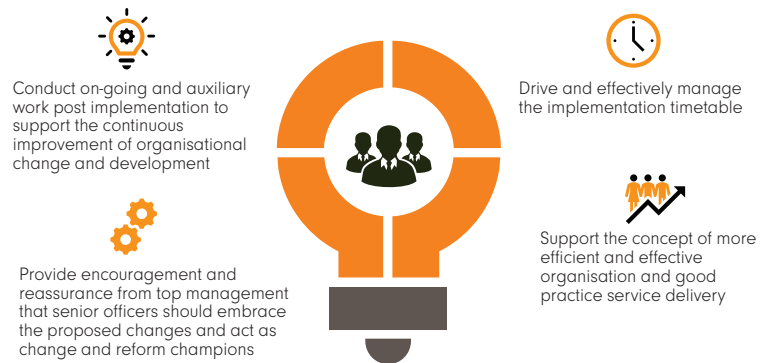
Expectations should therefore be carefully managed and responsible stakeholders held to account.

Figure 8

Conduct on-going and auxiliary work post implementation to support the continuous improvement of organisational change and development

Drive and effectively manage the implementation timetable

Provide encouragement and reassurance from top management that senior officers should embrace the proposed changes and act as change and reform champions

Support the concept of more efficient and effective organisation and good practice service delivery

Managing change

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

- Establishing a "steering group" and decision making body to oversee the process and communicate with staff, including trade unions;
- Establishing an implementation team and providing training for team members where necessary. The implementation team should include specialist expertise;
- Developing and consulting on the process and procedures to be followed before these are finalised. Consultation should include elected representatives, managers and staff. Consideration should be given to whether any wider consultations (for example with service users) are necessary. It may be important to obtain the opinion of a legal adviser e.g. where changes to mandate or employment conditions are involved;
- Publishing the agreed process and procedures so that all staff are aware of them, including a timetable showing key milestones, sequencing of functional reviews, decision points etc;
- Encouraging all players to stick to the timetable and plan and to turn up for meetings;
- Having a clear communication plan. Keeping stakeholders and decision makers informed e.g. the body of Permanent Secretaries (PS), EXCO members, staff and staff representatives. Using a variety of communication methods - workshops, newsletters, staff newspapers, intranet if available, state media, public relations (PR) as appropriate;
- Establishing a regular communication process to keep elected representatives, staff and other stakeholders informed about progress. This should also include establishing a communication channel by which staff comments can be fed back to the steering group and implementation team (for example, via comments boxes).

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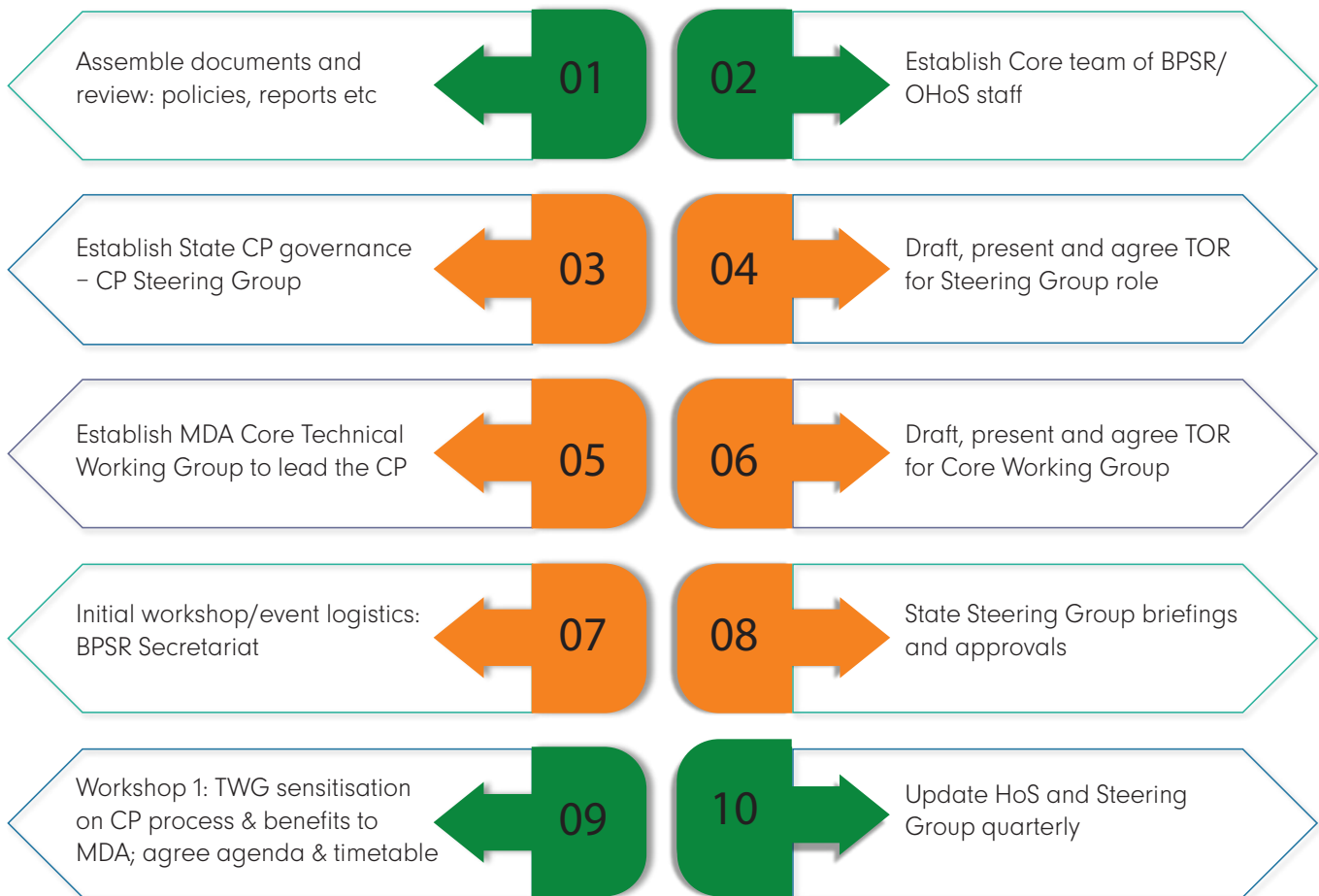
The following have proved useful in Corporate Planning analysis:

- Setting up a decision making 'Core/Working Group' that comprises the senior staff who will lead the Corporate Planning work in their own directorates and functional areas and who can conduct 'peer reviews' of the findings and recommendations at each stage in the Corporate Planning process;
- The 'Core Group' collectively can take an overview of Corporate Planning as it applies to the organisation. This group should ideally be led by the PS and be the decision making and approval governance body;
- Time for consultants or support team to work closely with the MDA: to brief, to demonstrate, to facilitate the analysis at each stage, to work with each directorate and with the 'Core Group' overall;
- A schedule of sequenced activities to guide the process and set the pace; loss of momentum is demotivating;
- Recognising that different stages can take different times to complete - some can be done very quickly, others may need to be visited more than once, some may even be skipped if time spent on them would be nugatory;
- Deploying the right skills at the right stage and time;

Constant support from the consultants or support team - engaging with the MDA at the top level; reviewing and advising the consultants, maintaining momentum, sharing experiences and expertise, recording and managing information.

Model Corporate Planning Timetable

Figure 9: Corporate Planning Take-off Protocol

Assemble documents and review: policies, reports etc	**01**	
	02	Establish Core team of BPSR/OHoS staff
Establish State CP governance – CP Steering Group	**03**	
	04	Draft, present and agree TOR for Steering Group role
Establish MDA Core Technical Working Group to lead the CP	**05**	
	06	Draft, present and agree TOR for Core Working Group
Initial workshop/event logistics: BPSR Secretariat	**07**	
	08	State Steering Group briefings and approvals
Workshop 1: TWG sensitisation on CP process & benefits to MDA; agree agenda & timetable	**09**	
	10	Update HoS and Steering Group quarterly

On the next page is an example of the timetable which should be developed and agreed for the whole Corporate Planning process.

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

Corporate Planning - example activity plan

Stage 1: Preparation

Assemble documents: MTSS, mandates, laws, organograms etc
Identify and mobilise internal technical team
Communication strategy and plan
Agree and establish Corporate Planning Steering Group; terms of reference (ToR)
Establish MDA Core Group and ToR to lead the Corporate Planning
Formally agree plan and timetable
Sensitisation - senior staff
Sensitisation and communication - staff etc
Apply readiness for change checklist
Stage 1 Interim Report - plan, deliverables, deadlines, responsibilities

Stage 2: Mandates, Vision, Mission, Objectives

Establish vision, mission and value statements; use existing sources
Agree and communicate vision, mission and value statements
Establish long and medium-term objectives
Directorate and unit long term (LT) objectives and key performance indicators (KPIs) agreed and documented
Stage 2 Interim Report -mandates, vision, mission, and MTOs

Stage 3: Functions, structures and processes

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

Stage 4: Establishment and workforce planning

Identify technical team
Review current establishment plan, posts and staff details
Create new establishment plan
Establishment plan submitted
Develop workforce plan [use toolkit methodology]
Workforce capability forecast related to vision and objectives
Quantify workforce flows in/out and through [MDA]
Conduct personnel 'audit '
Carry out comparative analysis - staff info with establishment plan jobs
Identify gaps and succession priorities
Draft job [and job family] descriptions
Draft and submit plan to reposition redundant staff/skills

month 1	month 2	month 3	month 4	month 5	month 6

week 1&2					

week 3&4					

Corporate Planning - example activity plan

Submit workforce plan
Identify capability gap
Revise staff training and development plan
Establishment and workforce plan and implementation plan
Stage 4 Interim Report - establishment and workforce plan

Stage 5: Implementation plan and handover

Corporate planning process recommendations compiled
Transition plan
Implementation plan
Communication strategy and plan
Progress reviews plan
Governance /decision group formal sign off
Final Report - recommendations, implementation plan, lessons learned

month 1	month 2	month 3	month 4	month 5	month 6

Sample Terms of Reference for CP Steering Committee

[Name of organization]
Steering Committee for Corporate Planning
Terms of Reference

This organisation is in the process of developing its Corporate Plan (CP) which is a process in which it examines itself in detail and determines how to organise and apply its resources (financial, human and equipment) to achieve its objectives and meet its service delivery standards and targets. A CP will guide management and staff in a cohesive effort to achieve the purpose for which the organisation was established. The technical team from PERL will support the development of the CP which will allow the organisation to put in place the 'golden thread' that will link every job and job holder's performance to its mandate. As a living document, the CP should be reviewed every 3-5 years.

Criteria

- Reform-minded leaders and very senior public managers (reform champions)
- Authority to grant, and/or obtain necessary approvals
- Willingness to serve

Membership

- HoS or Commissioner or Director General or Executive Secretary: Chairman
- PS
- PS
- PS
- PS etc.
- Director: Secretary

Tasks

- Provide leadership and direction for the development of the CP;
- Provide leadership, direction, oversee the activities, and guide the Technical Working Group;
- Communicate effectively the overall purpose, direction and progress for the exercise to all stakeholders (vertically and horizontally);
- Create an enabling environment for the development of CP;
- Receive regular briefings from the Technical Working Group, and review the work and reports of the Technical Working Group;
- Comment on and approve the drafts of the CP during the various stages of development;
- Lead the presentation/discussions of the CP to the EXCO for approval and implementation when necessary;
- Ensure the overall success of the development and implementation of the CP; and
- Ensure lessons learned and good practices are documented and shared within and outside the state.

Sample Terms of Reference for CP Technical Working Committee

[Name of organization]
Corporate Plan Technical Working Group
Terms of Reference

This organisation is in the process of developing a Corporate Plan (CP). It is a process in which an organisation examines itself in detail and determines how to organise and apply its resources (financial, human and equipment) to achieve its objectives and meet its service delivery standards and targets. A CP will guide management and staff in a cohesive effort to achieve the purpose for which the Commission is established.

The technical team from PERL will support the Technical Working Group (TWG) of this organisation in reviewing the CP starting with review of mandates and ending with the establishment and workforce planning; and performance management (organizational). The CP will allow the organization to put in place the 'golden thread' that will link every job and job holder's performance to its mandate. As a living document, the CP should be reviewed every 3-5 years.

The TWG will regularly report to the Steering Committee chaired by the Chief Executive of the organization.

Criteria for Membership

- Availability
- Accessibility to information and Senior management
- Provision of information & knowledge (ownership)
- Team player with passion
- ICT compliant
- Some specialist expertise

Membership

- PS Chairman
- Director
- Director
- Director etc
- Director: Secretary

Tasks

The members of the CP TWG will:

- Undertake the CP development process in the organisation;
- Liaise with the other organisations, local govts and other stakeholders, for their inputs;
- Focus on the necessary details in developing the CP and apply themselves consistently over the development period;
- Provide computers for this assignment to ensure all outputs are captured;
- Communicate (vertically and horizontally) the CP with all stakeholders;
- Train staff of local governments on how to set SMARTGSI objectives, strategies etc;
- Regularly brief the Steering Committee;
- Ensure lessons learned during the CP development process are well documented, widely shared and used to adjust future plans;
- Implement any assignments given by the Steering Committee.

Stage 2:
Defining Purpose and Strategic Direction

Checklists and Examples for Setting Vision, Mission and Value Statements

Mandates

A mandate states why the MDA exists – what it has been set-up to do. It is an official order, and contains its sources of powers/ authorities, as well as its limits. Mandates must be in writing, and should be legally defined (by Constitution, law, etc.) or officially gazetted through a Governor's order e.g. for ministries.

However, experience has shown that:

- Mandates may not reflect all that a ministry, department and agency (MDA) has been charged with doing;
- Some responsibilities may have been transferred elsewhere;
- Some activities and duties may have become redundant;
- These changes may or may not have been recorded officially.

In reviewing and clarifying mandates any changes proposed should be put forward as recommendations and a request they be approved for adoption[1].

Vision

The vision statement should set a clear view of what the MDA aims to be, its identity and what it stands for. They should be focused enough to guide decision making yet flexible enough to accommodate individual initiative and changing circumstances. Visions can be future-focused and aspirational. They should inspire people to be engaged in making the vision a reality and can stimulate change. They are more than slogans or bumper stickers and are as much about insight as far sight. Visions will fail if they are too specific or too vague, if they are unrealistic, too difficult to understand.

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

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

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

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[1] This may entail an official letter to the HOS; a change or amendment to legislation or a revised Gazette entry

Mission

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

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

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

Some examples

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

Some examples of vision and mission statements

State Auditor General
Vision: "To be a role model in Public Sector Auditing providing objective and reliable information for good governance."

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

State Civil Service Commission
Vision: "To be a world class civil service that is dynamic, efficient and effective."

Mission: "To render efficient services that will ensure a well-motivated and productive workforce based on Equity, Justice and Fairness."

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

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

Company: Coca Cola

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

People: Be a great place to work where people are inspired to be the best they can be.
Portfolio: Bring to the world a portfolio of quality beverage brands that anticipate and satisfy people's desires and needs.
Partners: Nurture a winning network of customers and suppliers, together we create mutual, enduring value.
Planet: Be a responsible citizen that makes a difference by helping build and support sustainable communities.
Profit: Maximize long-term return to shareowners while being mindful of our overall responsibilities.
Productivity: Be a highly effective, lean and fast-moving organization.

Mission: "Our Roadmap starts with our mission, which is enduring. It declares our purpose as a company and serves as the standard against which we weigh our actions and decisions. To refresh the world. To inspire moments of optimism and happiness. To create value and make a difference."

Company: Toyota

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

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

Value Statement

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

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

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

Examples
- 'Aim High, Reach Out and Pull Together' (Ministry of Energy and Climate Change, UK).
- 'Our first responsibility is to our customers' (Johnson and Johnson).
- 'We want a company that our people are proud of and committed to, where all employees have an opportunity to contribute, learn, grow and advance based on merit not politics or background. We want our people to feel respected, treated fairly and listened to and involved. Above all we want satisfaction from accomplishments and friendships, balanced personal and professional lives and to have fun in our endeavours' (Levi Strauss).

'Commitment to equitable treatment and elimination of discrimination in all its forms at all organizational levels and throughout all programs.' (Cornell University Cooperative Extensions University).

Stage 3:
Functional, Process, Systems and Structural Reviews

Step by Step Guide to Functions, Structure and Process Reviews

Functional and Structural Reviews

The functions of an MDA should be derived from its mandate(s) and the medium-term objectives (MTOs) that it plans to achieve. They are not simply a list of current activities. Functional review examines the functions and structure of state agencies and asks whether the functions need to be done at all, whether other agencies or actors could do them more efficiently or effectively, which functions are not being covered but should be and what the consequences of all these are for the structure and staffing.

Functional review addresses the following questions:

- Are all of the mandates translated into functions[2] and processes or are some moribund for lack of resource or other reason?
- Is the organisation carrying out the right functions, are some inappropriate, could some be dropped, should others be created, could some be outsourced or privatised?
- Who/which department or unit is responsible for undertaking the function?
- Who is the client for the function?
- For the functions retained, are these organised and set up to achieve optimum performance?
- For the functions retained, are these appropriately resourced and organised in the most cost effective manner?
- Do the structure and functions underpin clear jobs, roles and accountability?
- How can the service delivery processes be better organised to provide more efficient and effective outcomes?
- How would the introduction of new technologies such as information and communications technology (ICT) affect the functional arrangements, the organisational processes and structure?

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

A step by step approach

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

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

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[2] Likely to be more than one function for each mandate.

Functional analysis: a working example

On the next page is an example of a functional analysis carried out for an economic planning and budgeting MDA. The first table lists the mandates to which the functions should relate. Subsequent tables analyse the functions carried out by each department against the mandates.

Mandates of the example Budget and Planning MDA

Legend

A.   **Mandates**

Number	Narration
1.	Preparation of the state's development plans and annual budget
2.	Ensure proper conduct of budget execution and reporting
3.	Ensure good compliance with rules and regulations in accounting procedures
4.	Formulate accounting policies
5.	Operations and control of consolidated revenues fund, capital development funds, and all other funds as specified by established laws
6.	Supervision of Investments of the state
7.	Production of annual accounts
8.	Managing human and material resources for the attainment of the ministry's goals and objectives
9.	Application of appropriate administrative processes to facilitate robust service delivery in the ministry.

B.   **Tables**

Each table represents a department and the contents are departmental functions.

C.   **Colours and mark**

Actively undertaken

Partially undertaken

Not being undertaken

Extra function without mandate/unlisted function

Maps with mandate in the column

A.   Office of the Permanent Secretary

Planning Department

S/N	Functions	Mandates Fulfilled									Remarks
		1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	
1	Serves as the secretariat of the State Planning Implementation Committee (SPIC) – Dealing with Capital Budget	✔									Not being done now
2	Coordinating and supervising the implementation of the state development programmes and other development partners' activities in the State.	✔									
3	Advise on initiation and coordination of the state socio-economic development planning policies of government as well as development programmes of executing agencies.	✔									
4	Review the needs and achievements of the various socio-economic development planning policies and programs of the State.	✔									Never carried out
5	Identify the state available resources for efficient and effective prioritization, allocation for optimum utilization and maximum benefits	✔									Never carried out
6	Identification of skilled professional manpower needs of the state, the existing stock and resources available for further action aimed at closing the gap between demand and the supply.	✔									Never carried out
7	Receive and analyze project proposals submitted by executing agencies.	✔	✔								Never carried out
8	Preparation and designing questionnaires on manpower survey as well as taking part in writing survey report	✔									Never carried out
9	Scouting round for and processing technical assistance training offers by various donor organization and tertiary educational institutions	✔									Never carried out
10	Serving as a member to Ministerial Tenders and other Committees		✔								

Statistics Department

S/N	Functions	Mandates Fulfilled									Remarks
		1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	
1	Collection and analysis of statistical data	✓									Not being done now
2	Publish and disseminate data on economic and social activities in the state	✓									Not being done now
3	Presenting reports on manpower situation, for both public and private use	✓									Not being done now
4	Making population projection for the state and other interested bodies	✓									Only some aspects carried out

Finance and Accounts Department

S/N	Functions	Mandates Fulfilled									Remarks
		1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	
1	Advising the Permanent Secretary and other Departmental heads on all financial matters.	✔									
2	To ensure custody and proper disbursement of funds on behalf of the Ministry/Department	✔	✔				✔				
3	Supervision of final compilation of Budget and rolling plans in accordance with Chapter 5 of Financial instructions	✔									
4	Signatory to all payment vouchers	✔									
5	Responsible for effective collection of revenue due to the Ministry/Department	✔				✔					
6	Monthly reconciliation with Ministry of Finance and Budget Department	✔									
7	Answering audit and public accounts queries	✔									
8	Supervision and preparation of monthly returns	✔							✔		
9	Serving as member of ministerial tenders board	✔									

Process review

Defining systems and processes

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

Process mapping and review

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

Refining core processes: 'As is' and 'To be'

The purpose of mapping the process chain is to allow the MDA(s) to objectively view core processes and identify:

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

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

A step by step approach

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

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

Characteristics of excellent processes

Processes are how quality services and results are produced. Those that are excellent:

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

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

Figure 10
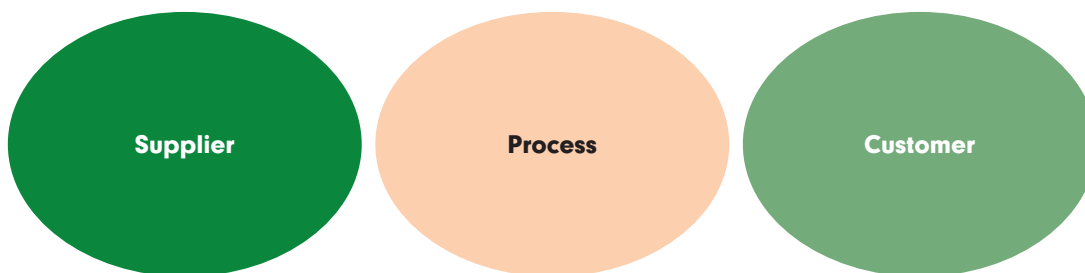
A working example: description of a functional and process review workshop

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

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

Questions posed:

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

What are the results and benefits?

Building on the earlier functional review, [this] should provide further evidence to enable the formulation of recommendations for:

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

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

- Was indeed being carried out;
- Was necessary to the performance of the function;
- Was being undertaken at the appropriate desk/unit.

Participants undertook overview of the totality of processes for each function based on (if any):

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

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

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

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

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

'As is' and 'To be' processes were mapped and recorded.

Fishbone technique is a quality management process analysis tool. It is a visualization tool for categorizing the potential causes of a problem to identify its root causes. It is a cause-and-effect diagram which can reveal key relationships among various variables, and the possible causes provide additional insight into process behaviour.

Figure 11
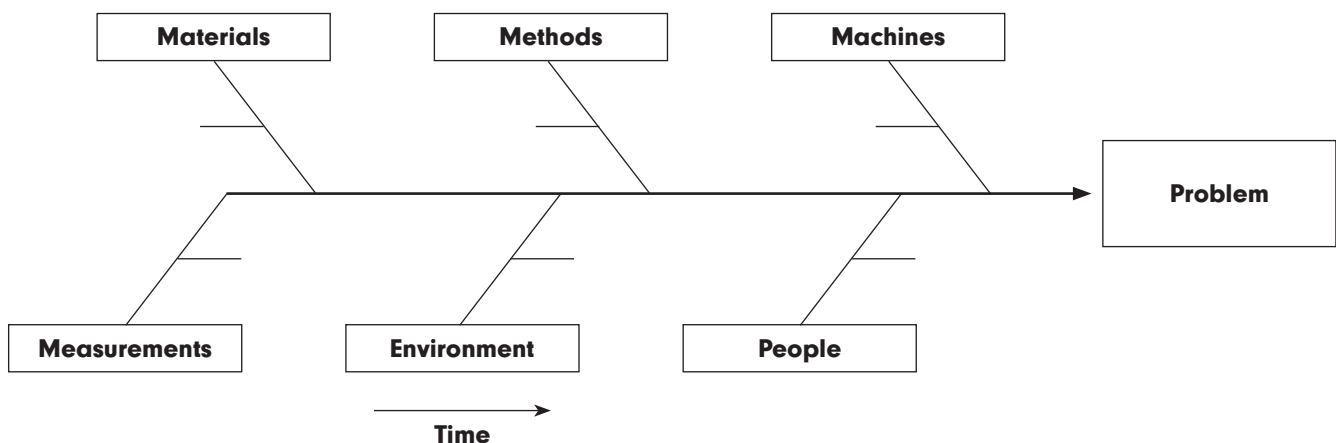
Business Process Re-engineering is the fundamental reconsideration and radical design of organisation processes to achieve drastic improvement of current performance in cost, service delivery and satisfaction, and speed. Value creation for the customer is the leading factor for BPR and IT often plays an important enable role.

Examples of simple and complex process flowcharts

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

A selection of flow charts from the early adopters of Corporate Planning are included below as follows:

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

- **More complex flowcharts;**
    - o   Overall planning process.
    - o   MTSS process.
    - o   Annual budget, medium term budget framework (MTBF) and MTSS linked process.
    - o   Pre-payment project inspection process.
    - o   Model recruitment and selection process.
    - o   Job evaluation process.
    - o   Performance and appraisal process.
    - o   Tailored training and development process.

Figure 12: Flowchart for Biometric Data Capture

As Is (3 months)

- MDA FORWARDS NAMES OF NEWLY RECRUITED STAFF TO HOS, WITH HE's APPROVAL
- HOS PROCESSES THE SUBMISSION FROM THE MDAs AND FORWARDS TO EXCO FOR APPROVAL
- EXCO APPROVAL IS FORWARDED BACK TO HOS FOR IMPLEMENTATION
- HOS PROPOSES A DAT E FOR DATA CAPTURE WITH ICT UNIT OF AG's OFFICE
- HOS ISSUES CIRCULAR TO MDAs FOR DATA CAPTURE OF THE AFFECTED STAFF - DATES, VENUE, TIME
- HOS DIRECTS AG's OFFICE COMPUTER UNIT TO PRINT FORMS AND RELEASE TO MDAs IN LIKNE WITH EXCO APPROVAL
- MDAs RETURN COMPLETE D/ COUNTERSIGNED FORMS BY AUTHORIZED OFFICERS TO HOS FOR VERIFICATION
- MDAs FORWARD VERIFIED/ COUNTERSIGNED FORMS FROM MDAs TO CONSULTANTS FOR BIODATA CAPTURE
- CAPTURE OF STAFF INFORMATION BY CONSULTANT
- PAYMENT OF SALARY TO THE CAPTURED STAFF

To Be (1 Month)

- MDAs FORWARD LIST OF NEWLY RECRUITED STAFF TO HOS
- HOS PROCESSES THE SUBMISSION FROM THE MDAs & DIRECTS AG's OFFICE TO PRINT & RELEASE FORMS TO MDAs
- HOS ISSUES CIRCULAR ON THE DATE TO CAPTURE CANDIDATES
- COMPLETED FORMS RETURNED TO THE HOS FOR VERIFICATION
- HOS COUNTERSIGNS FORMS & FORWARDS THEM TO CONSULTANT FOR CAPTURE
- STAFF CAPTURED BY CONSULTANT
- PAYMENT OF SALARY TO NEW STAFF

Figure 13: Flowchart for Allocation of Office Premises

AS IS (9 days)

INTENDING OCCUPANTS
APPLY TO HOS (1 DAY)

↓

HOS MINUTES TO HOD (SWD), TO FIND
ANY AVAILABLE OFFICE

↓

HOD (SWD) RECOMMENDS TO HOS OF
ANY GOVT OWNED VACANT OFFICES
(1 DAY)

↓

HOD (SWD) RECOMMENDS TO HOS
FOR RENTING EITHER GOVT OR PRIVATE
PREMISES
(4 DAYS)

↓

HOS's APPROVAL & LETTER TO M.D.W &
INFRA
(1 DAY)

↓

MIN OF WORKS TAKES INVENTORY OF
FURNITURE/ EQUIPMENT AND DOCUMENTS
(2 DAYS)

↓

THE OCCUPANT IS NOW CHECKED IN
BY M.O.W & INFRA

TO BE (4 days)

HOS RECEIVES
APPLICATION & DIRECTS
HOD (SWD)

↓

Private property ← HOD (SWD) REVIEWS AVAILABILITY FROM LISTING OF PROPOERTY (1 DAY) → Govt. property

↓

HOS DIRECTS MOW&I TO
TAKE INVENTORY, CHECK
IN APPLICANT. HE COPIES
APPLICANT
(1 DAY)

↓

MOW TAKES INVENTORY &
CHECKS IN APPLICANT
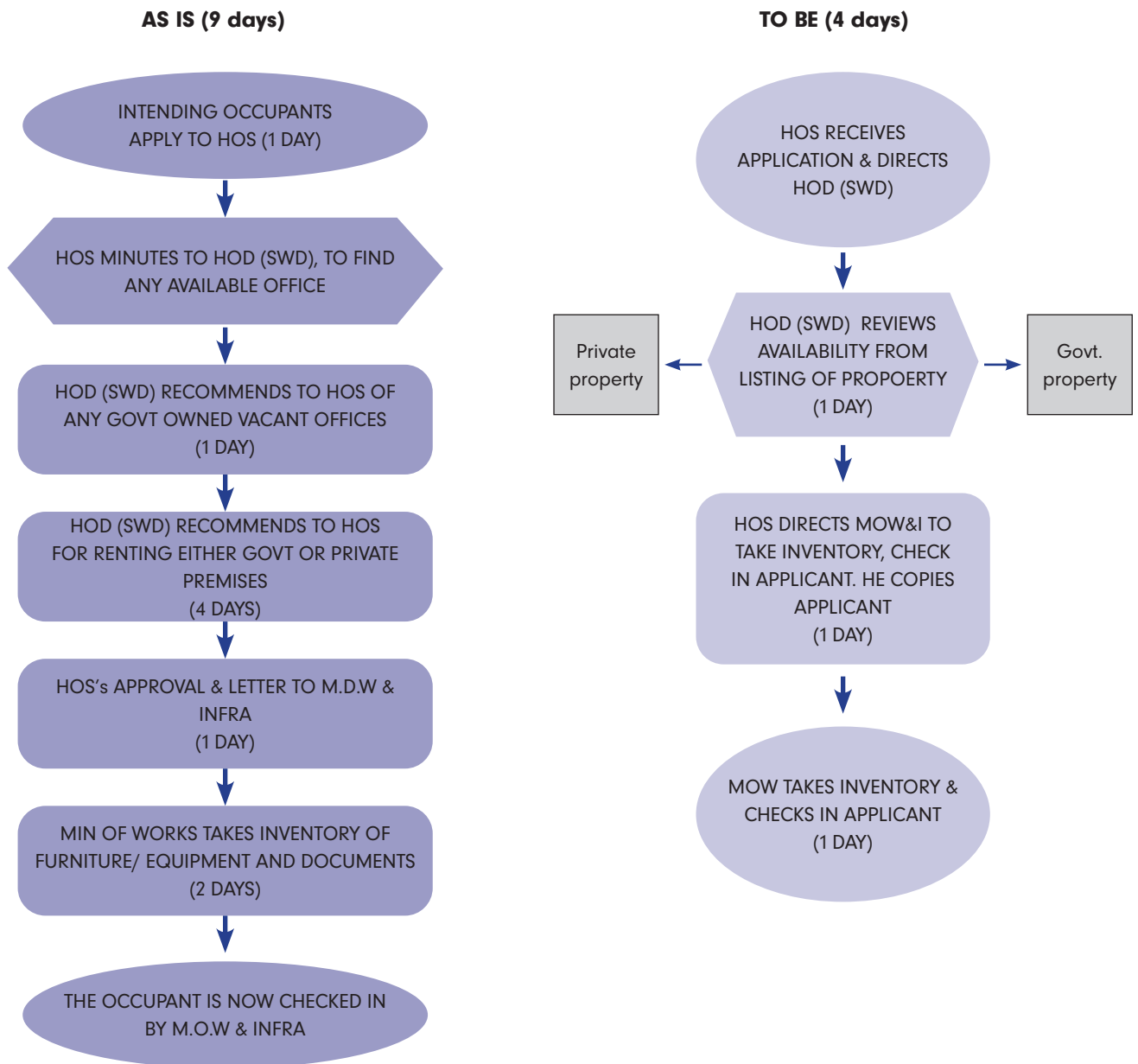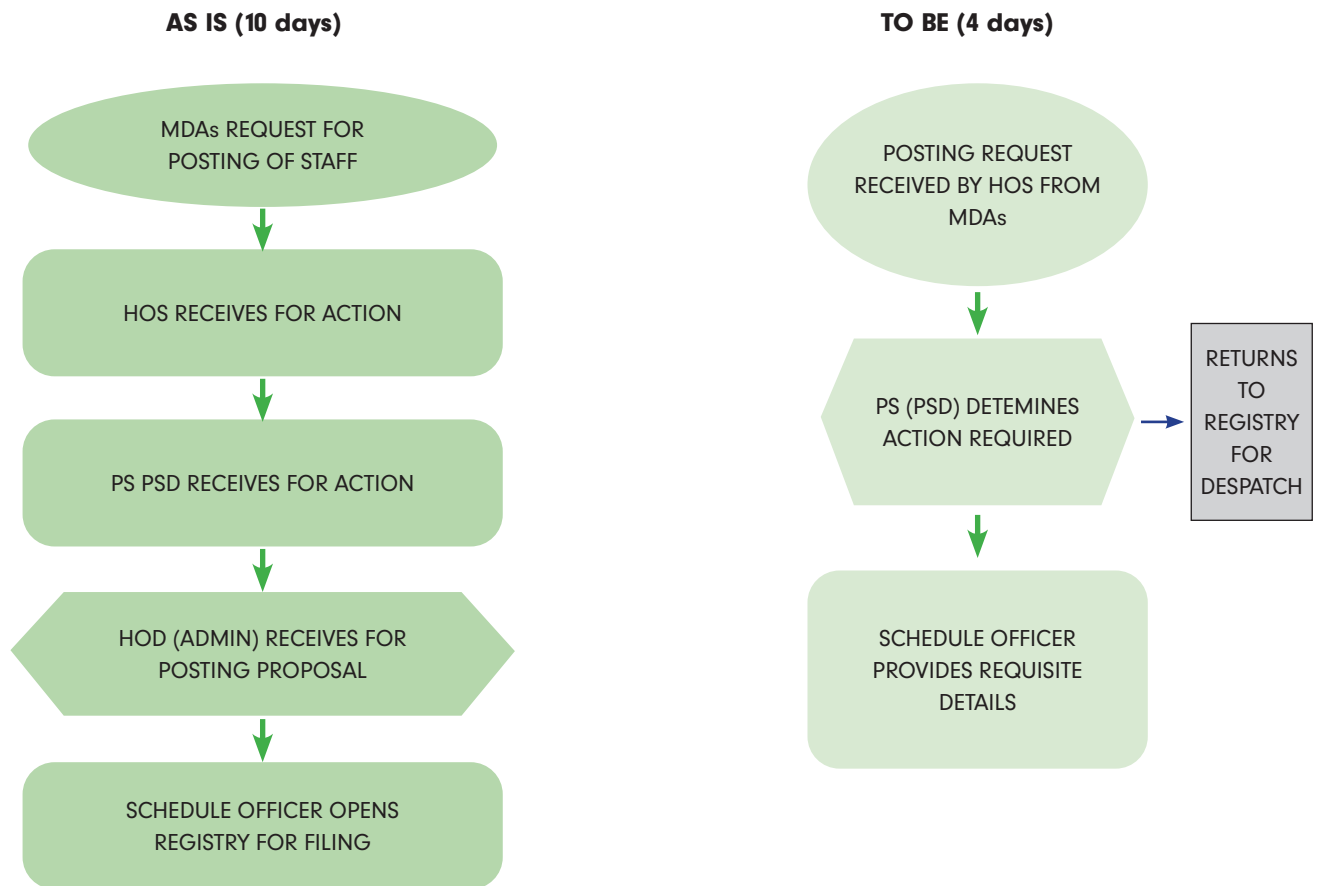(1 DAY)

Figure 14: Flowchart for Posting Staff

Figure 15: Overall Planning Process

Figure 16: MTSS Development Process

STAGE 1: REVIEW AND PREPARATION

Set up MTSS Committee.
Agree ToRs, process, stakeholders, work plan with responsibilities and Table of Contents
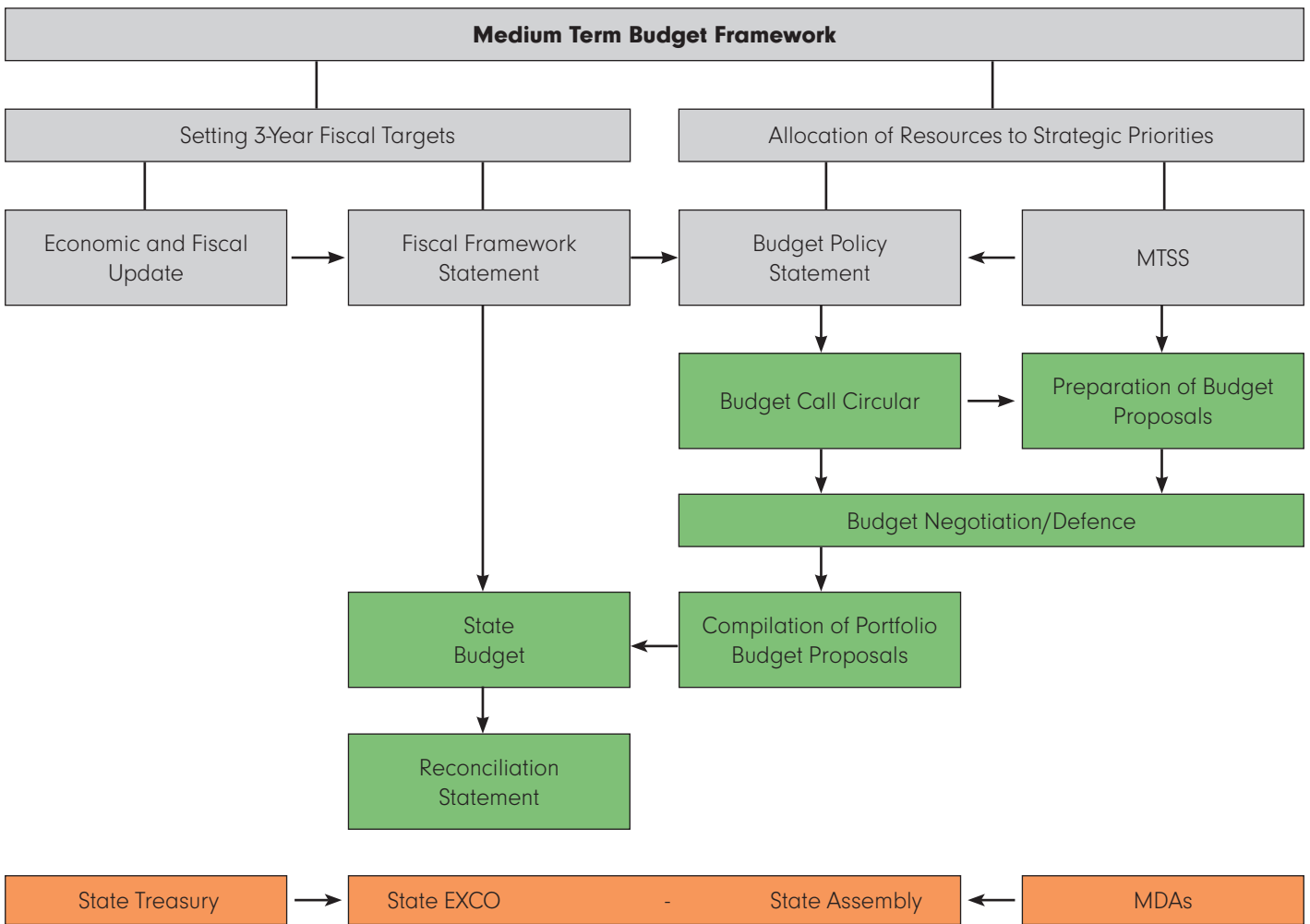
No

HC approves policy priority areas

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

Yes

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

Three year revenue flows (expenditure ceilings)

Identify existing contracts and budget commitments

STAGE 2: SECTOR STRATEGY SESSIONS

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

No

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

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

HC approves the outputs from the strategy sessions

Decide changes to activities and projects, and sequencing

STAGE 3: DOCUMENTATION AND AGREEMENT

Make alterations to sector strategies

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

Yes

Compile budget submissions following call circulars. Submissions based on ceilings will be used to defend budget

Implementation Plans

Pilots

Monitoring & Evaluations Annual Reviews

Lessons learned

Figure 17: Process Linking Annual Budget Process with MTFF and MTSS[3]

Medium Term Budget Framework	
Setting 3-Year Fiscal Targets	Allocation of Resources to Strategic Priorities

Economic and Fiscal Update → Fiscal Framework Statement → Budget Policy Statement ← MTSS

Budget Call Circular → Preparation of Budget Proposals

Budget Negotiation/Defence

State Budget ← Compilation of Portfolio Budget Proposals

Reconciliation Statement

State Treasury → State EXCO - State Assembly ← MDAs

Figure 18: Pre-payment projects inspection process (Monitoring and Evaluation (M&E)

Figure 19: Recommended / Model recruitment and selection process
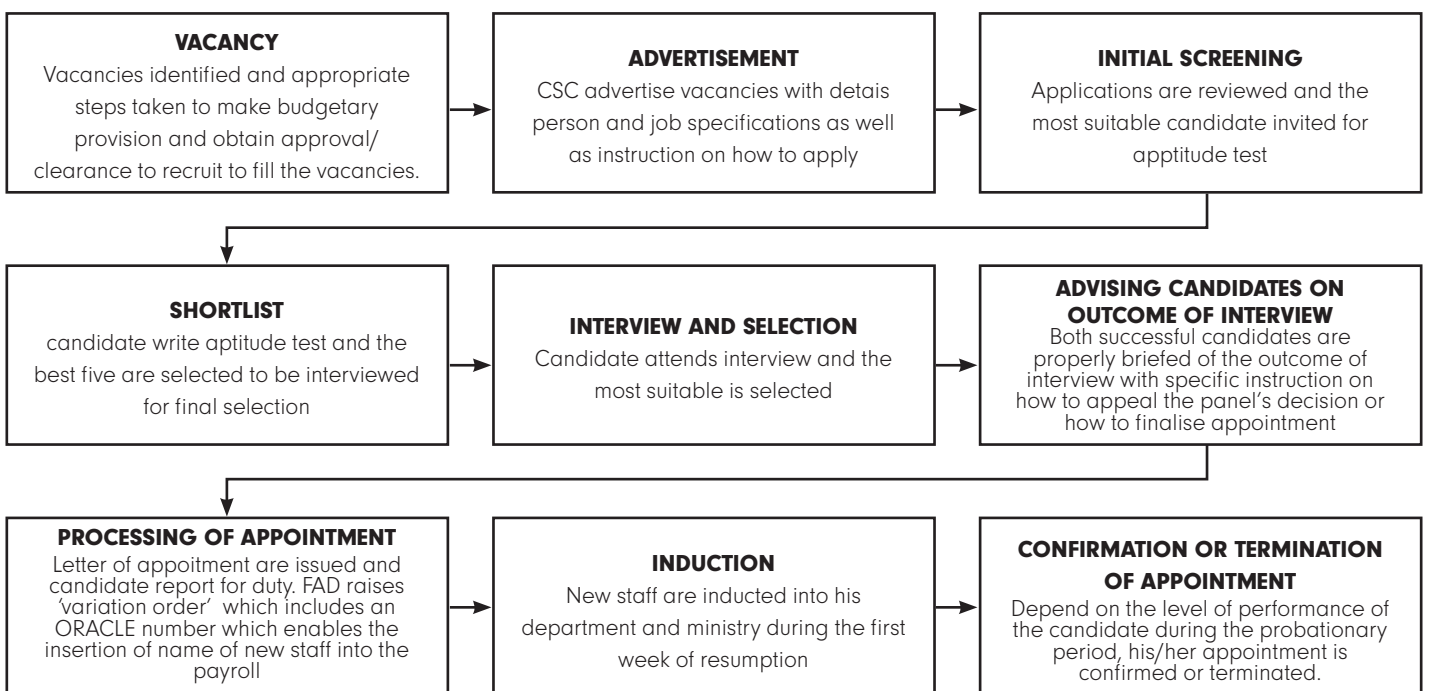
Figure 20: Recommended Performance Appraisal Process Chart

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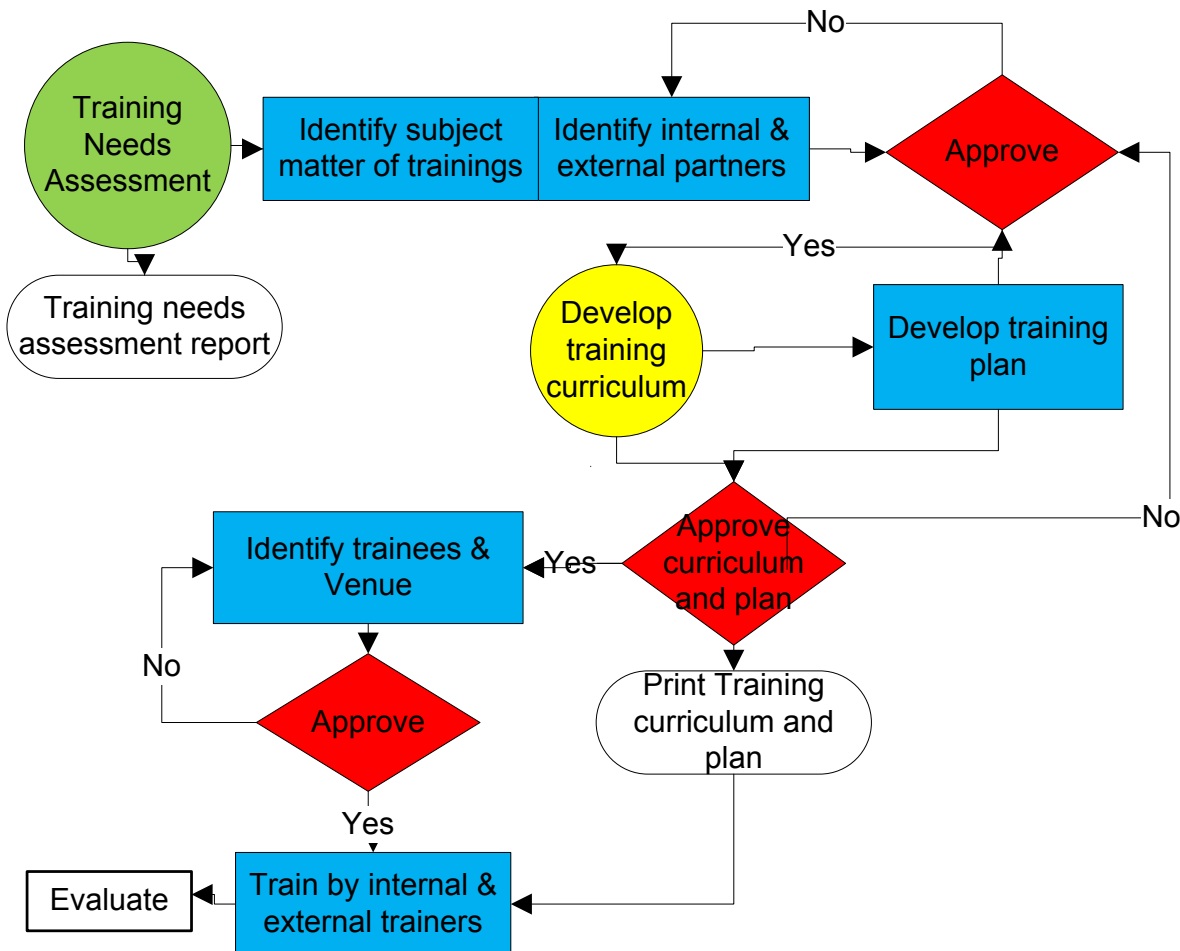
These are set, agreed and documented at the beginning of each year relative to staff member's activities and outputs as defined in the job description, and work-unit-level, departmental and ministerial or corporate level objectives

INFORMAL MONITORING PERFORMANCE

Supervisors ensure that informal monitoring of work achievement against objectives takes place thruout the year

FORMAL INTERIM MONITORING AND REVIEW OF OBJECTIVES

This takes place around mid-year to assess progress towards achievement of the original objectives, Overall work performance and to agree any changes required to the original objectives

FORMAL PERFORMANCE APPRAISAL

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

ADMINISTRATION OF APPRAISAL RESULTS

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

SETTING WORK TARGETS AND OBJECTIVES

Once the current performance rating has been made there is immediate discussion about the objectives for the next year

Figure 21: Job Evaluation Process

Figure 22: Tailored Training and Development Process

Stage 4:
Establishment Planning, Workforce Planning and Job Descriptions

Step by Step Guide on Establishment and Workforce Planning

Determining Human Resource Requirements

This involves the preparation of organograms (organisation charts) based on the systems and processes which have been reviewed. The organograms should be built from zero and represent managers' ideal numbers and levels of posts and skills to operate the defined systems and processes. To produce the organograms, managers must have:

- Identified the different types of tasks which must be carried out and grouped these together into manageable roles – each of which would constitute one type of post; and
- Estimated the total volumes of service to be delivered, which will indicate how many of each type of post will be required.

While this process must be driven by service managers, it can be supported by specialist professional human resource management advice, either provided from central establishment functions or external expert consultants. Once the human resources requirements have been established, managers must seek approval for the new establishment (which will not necessarily be automatic in the context of employment policies in the public sector). The budget must also include the costs of the new structure and staffing levels, as well as any costs of migrating from the existing to the new structure and staffing levels. The potential benefits of establishment and workforce planning in the state include:

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

Establishment and workforce planning involves three distinct stages:

- **Define an establishment plan for the MDA:** specifically, the composition of the required workforce in terms of posts, jobs, and skills required to respond to the structure, functions and processes proposed and adopted (i.e. what staff do we need to do the job?);
- **Analyse the existing workforce and identify gaps:** specifically match the current numbers, experience, competences and demographics of the existing MDA staff with the needs and identify the shortages in terms of staff, numbers, grades or competences which must be addressed. (for an example of workforce analysis see page 83 of the ....);
- **Prepare a workforce plan:** which sets out how the MDA will get the right people, with the right skills, in the right jobs (identified in the establishment plan) at the right time to enable the MDA to deliver its goals, strategic objectives and service delivery targets (i.e. what staff do we have and how can we better utilise them?).

Stage One: Define an Establishment Plan for the MDA

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

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

- Review the functions and structure of the MDA or each department to be included in the process. Create a list of posts that fit the functional and structural needs. This is not a routine task but one that requires some analysis of the skills needed to fulfil functional responsibilities and the correct hierarchy of seniority that will provide sufficient spread of 'workers' and 'supervisors';

- List all posts in the existing structure of the MDA with their grades, required qualifications, experience level and competences. (Do not confuse this with the nominal roll for the MDA or department or attempt to seek the information from the payroll which will only list those who are in post.) Some existing posts may not be necessary and some new posts may well need to be created;
- Review the job descriptions (if they exist) for the existing posts which will continue. Existing job descriptions may need to be revised, and some new ones may need to be created;
- Create new job specifications[4] and grades for the new posts that have been created. Once the job specification has been approved then a fuller job description must be developed for every new post;
- Consider gender equality and social inclusion;
- Produce a final establishment plan for each department or unit which identifies all of the posts, their job descriptions and job specifications.

It is important to note that an establishment plan should be done at MDA level and for officers on GL 07 and above and should be an outcome of a Corporate Planning function, structure and process reviews.

The format for creating an ideal Establishment plan will be any of these:

Basic (Required for now)	· Organogram · Agreed posts in each department/unit · Basic job description including job specification
Better (Foreseeable change)	Reflecting expected changes in functions, processes, numbers (e.g. computerisation)
Best (Scenario planning)	Modelling a variety of possible establishments

The format for creating a non-ideal but just as effective establishment plan is:

1. You should have **structured** interview with a senior officer (unit head, department head, director.);
   - Senior enough to make a judgement on what is needed.
   - Junior enough to know the detail.

2. Key questions to ask;
   - What is the function/ process?
   - What type of **posts** are needed for this work?
   - How many **posts** are needed - based on current experience and expected workload? (these should NOT be based on grades, or any notional ratio of grades).
   - A suggested grade level for each of the types of posts can be proposed later.

3. Key considerations should include the following;
   - This is a managerial judgement.
   - It is art not science.
   - It may be necessary to make heroic assumptions.

The format of an establishment plan is shown below.

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[4] A job specification includes a list of the tasks, or functions and responsibilities of a position. Typically, it also includes to whom the position reports, specifications such as the qualifications, experience needed by the person in the job etc; further information and an example job description are provided below.

The revised establishment plan for reorganised MDA

Ministry of _____

ESTABLISHMENT PLAN

Department/Unit _____

Title of Post	Grade	No of Posts in Dept/Unit	Main Tasks and Responsibilities	Qualifications
Head of Department	16	1	Overall performance of the Department, setting goals and performance targets etc	Masters, 10+ years relevant experience etc
Deputy Head of Department	15	4		
Principal Education Officer	12/13	7		
Administration Officer	8	14		
Etc				

Each establishment plan must be designed for a department or unit and the establishment plan for every department will almost certainly be different from all others. The only possible exception to this will be some administration units, which will have identical or very similar duties no matter in which department they are located. The practice of creating identical post hierarchies (for example department head x 1, department head x 2, principal officer x 4, senior officer x 8 and so on) irrespective of the nature of the tasks being undertaken should be abandoned.

Stage Two: Analyse the existing workforce and identify gaps

The second stage of the process is to analyse the existing workforce and compare with the establishment plan to identify the 'fit' between the two. It is to be expected that many of the existing staff can be assigned to the new posts, However, there will undoubtedly be some posts for which no officer with suitable experience or expertise is currently employed in the MDA, and some officers whose competences do not readily match any of the required posts.

The workforce analysis involves the following steps:

- Prepare a staff list showing all personnel currently employed by the MDA, department, their age[5], qualifications, gender, experience, grade and performance record if existing (see below for a suggested format);
- Identify the skills required to effectively undertake the new responsibilities (from the establishment plan.);
- Conduct a personnel and skills audit – do current employees have the necessary qualifications and experience to effectively undertake their job responsibilities? Where new responsibilities are proposed then the capacity of existing staff to undertake these new responsibilities must be analysed too. Where staff lack required skills or those that possess skills are inadequate an MDA cannot perform the functions and services expected of it. A 'skills gap' can only be closed by either employing new staff with required skills or providing training to existing staff;
- Compare the nominal roll with the establishment plan to highlight vacancies, staff duplication, new staff requirements, skill and experience gaps;
- Account should be taken, especially in MDAs providing direct public services, of the projected size and nature of **future** demand for the services provided and the implication of these demands for numbers and skills of staff. With increasing population size a quantitative increase in demand is inevitable but also changing social attitudes and education may bring about changes in the service quality demanded.

There are three main stages to getting the ideal workforce plan. These are:

- Stage 1: The baseline study stage is to determine in a systematic way, its current workforce data which will inform projections on the future size, shape and capability of the workforce required by the MDA to discharge its responsibilities. The MDA will need to focus on the following;

  - o Does the data exist in current records?
  - o Are they paper based or electronic?
  - o Are the records reliable?
  - o Are there duplicates which will need to be reconciled?
  - o Will we need a questionnaire to be completed by staff to obtain all the information?

- This stage involves capturing the necessary data about the people working in the ministry/department/unit:
  - o Decide what data you need.
    - ✔ Qualifications and training.
    - ✔ Career history/experience.
    - ✔ Performance history.
  - o Establish data sources and qualify data;
    - ✔ Payroll (basic).
    - ✔ Nominal roll (better).
    - ✔ Enugu State HRMIS data (best).
  - o Design necessary surveys (often direct with staff – careful management is needed);
  - o Decide how to validate data.

- Stage 2: This is the gap analysis stage that compares current workforce demography and capabilities with the workforce that will be required for future functions and responsibilities when revised structures and processes become operational;
  - o Compare the workforce with the agreed establishment;
  - o Post by post determine the following.

---

[5] In many parts of the Nigerian Civil Service a critical factor is the aging of the workforce that threatens to create skills and experience gaps in more senior decision-making roles. A sudden absence of experienced staff will detrimentally impact upon an MDA's performance.

Figure 23: The Ideal Workforce Plan
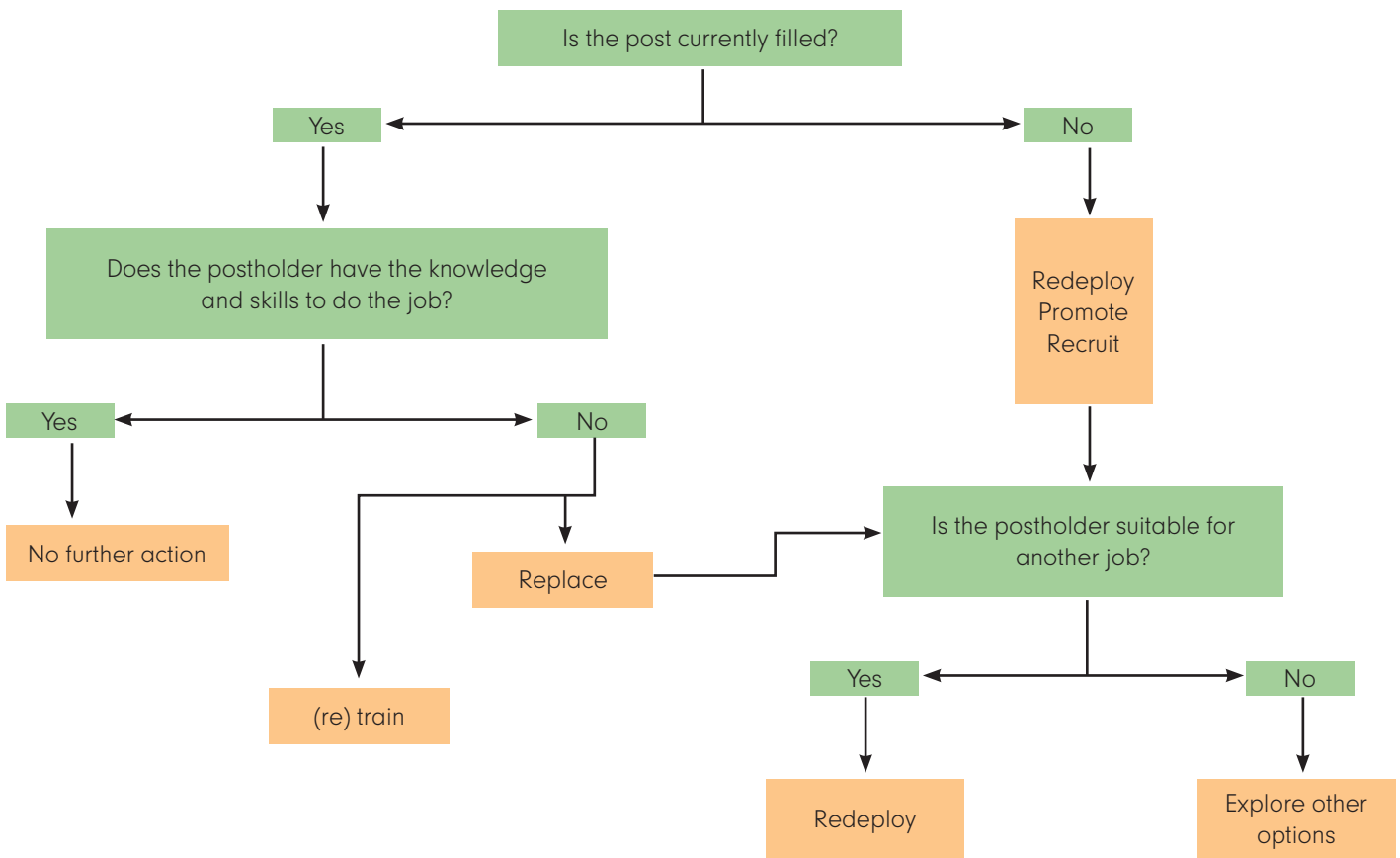
> • <u>Stage 3:</u> The third stage is defining the required workforce and developing actions to bridge any gaps that may have been identified as a result of stage 2. This will involve:
>   - o Deciding how to fill any new posts or vacant posts (e.g. redeploy existing staff, recruit internally or externally, and/ or use short term contracted staff to meet immediate needs);
>   - o Identifying any immediate training which will be needed to ensure that people who will remain in posts have the knowledge and skills to cope with me duties;
> • Making arrangements to redeploy any people who will be a better fit for other posts.

A template for staff profiling which can be used to gather data for workforce analysis is given below.

Staff profile format for workforce analysis

Ministry of _____

STAFF PROFILE CHART

Please complete this table for all staff in the Ministry.

S/N	Name (in full)	Job title/ position	Grade Level	Gender	Date of Birth	Academic qualifications (degree, Specialty, institution & dates)	No. of years in State Public Service	Formal training received in last three years (State Specific Titles)	Personal development undertaken in the last three years (State Specific Programme Title)
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									

A working example: Findings of a live workforce analysis exercise

Objectives

The parameters of analysis were:

    i.   Staffing distribution by Departments;
    ii.   Age;
    iii.   Experience;
    iv.   Gender;
    v.   Qualifications;
    vi.   Specialities.

The analysis was based on the staffing information of the ministry provided to SPARC by the OHOS.

Methodology

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

- Number of departments and staff population in each;
- Staff distribution by cadre in the department;
- Age distribution of staff within GL 07 and above;
- Length of service;
- Relative experience of staff from GL 07 and above;
- Staff qualifications;
- Qualifications of staff from GL 07 and above.

Steps in workforce analysis

The steps involved were as follows:

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

Findings

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

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

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

- Qualifications
  The aggregate qualifications of the staff in the ministry are poor, hardly fit for modern setting and demands of the

mandates. The majority of the staff hold only lowly rated certificates and diplomas. A significant number of the lower level staff are illiterate.

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

Recommendations

The following recommendations were made:
- The ministry should itself draw up a comparable list to that provided by the OHOS to verify the situation with regard to its various departments;
- Staff who have overstayed statutory tenure should be eased out;
- Succession planning must be instituted immediately in the ministry;
- In the interim, transfer and re-posting from outside the MDA should be tried to redress the current dearth of skills;
- The approved establishment list of the ministry should be located to enable further comparison against the actual current situation;
- Immediate skills evaluation on departmental bases should be carried out to detect areas of acute shortage;
- The dictates of performance in the public service have changed drastically and there is the need for some decisive action about acquisition of the right skills. This implies there is a need to unfreeze recruitment at least for critical function areas of the ministry;
- The state government should consider the possibility of sourcing new and experienced skills from the private sector, if need be.

Workforce 'gap identification'

Once managers have determined their ideal human resource requirements and the new establishment has been approved as described above, the next stage in the process is to compare these requirements with the actual human resources in place. This will require a review of existing staff to establish:

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

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

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

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

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

Planning the transition to the new structure and staffing

Moving from the existing to the new human resources requirements demands careful planning. There are two aspects:

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

Managing the performance of people in the new posts

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

- Job descriptions, defining expectations and assessing performance;
- Capacity building.

Toolkit resources 4b and 4c give guidance on job evaluation and job descriptions. Toolkit Resource 4e provides guidance on capacity building.

Job descriptions, defining expectations and assessing performance

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

Monitoring and review of the establishment and workforce plan

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

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

Ideas to address immediate workforce gaps and shortages

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

- Create some entry-level development schemes linked to career graded job roles to increase the number of new/young people in government;
- Develop fast track skill development programmes for certain occupational groups;
- Introduce bursaries for professional studies;
- Undertake job rotation schemes;
- Create more career pathways, with skill development; and qualification release, which allow staff in front line posts to move up step-by-step into more highly skilled posts;
- Set up graduate entry schemes;

- Analyse and address the issues causing high turnover in key occupational areas e.g. doing exit interviews to identify reasons for leaving over the past five years (e.g. numbers leaving through compulsory retirement, voluntary retirement, ill health retirement, death in service, resignation, dismissal, contract expired, transferred out);
- Speed up and improve recruitment processes to attract better candidates;
- Set up schemes to attract mature candidates who bring experience from other sectors;
- Offer those approaching retirement opportunities to work more flexibly, reduce their hours or move to less responsible posts in order to keep them at work;
- Attract back retirees or others who have left skilled jobs;
- Ensure good employment and staff care practices so that employees want to continue to work for you;
- Improve induction practices so new recruits get a better start.

Replacement and Succession Planning Concept Note

Introduction

Skilled employees are the most important assets for any Ministry, Department and Agency (MDA), thus the need to attract and retain them. Succession planning is a conscious decision made by an organization to foster and promote sustainable and continuous development of employees and ensure that key positions maintain some measure of stability, thus enabling the MDA to focus on and improve service delivery. Through succession planning, the MDA attracts and recruits superior employees that are suitable to its short and long-term needs (strategy), develops their knowledge, skills and abilities, and prepares them for career advancement or promotion into ever more challenging and changing roles.

The aim of succession planning is to have a formal, comprehensive and systematic approach to **attract, develop and retain high potential employees,** and thus provide the MDA with a guaranteed and competitive leadership and managerial talent pool for both current and future positions, and work to improve delivery of public goods and service.

Succession Challenges

Conceptual Framework
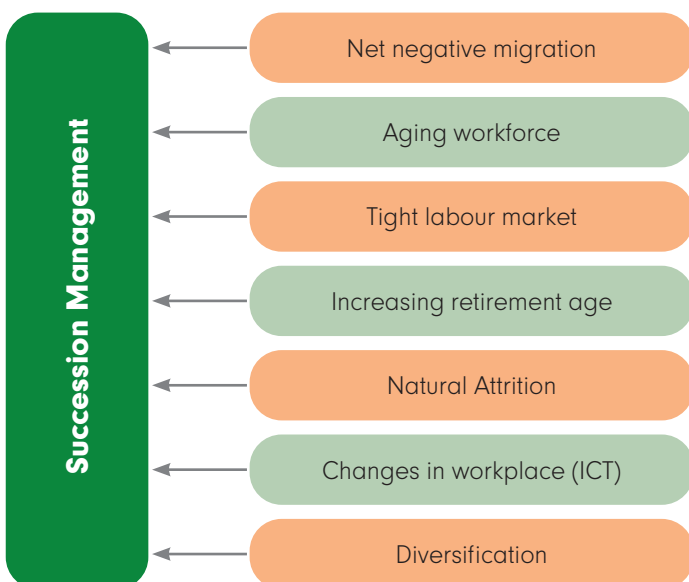
The Civil Service faces career succession challenges prompted by demographic change, stagnation in one level, an aging workforce, limited competitiveness, increasing retirement rates, fast-paced changes in work, need for diversification[6] of the workforce, effects of natural attrition, and tight labour markets due to demographic change from negative net migration and shrinking population owing to rural – urban migration. In addition, misaligned skills due to changes and generally poor orientation towards work, due to weak motivation also have an impact on civil service skills.

Figure 24: Succession challenges in the Civil Service

Schemes of Service

The Schemes of Service provide career progression guidelines for all the serving officers for smooth succession management; these are outlined in the Human Resources Management system and are indicative of a strategic response to key HR challenges. Succession planning, however, has, not been formally addressed in the Civil Service. Rather, succession planning is informally and verbally undertaken for key roles, where an employee is identified as the strongest person with enormous potential to likely succeed any senior employee who is promoted or leaves the MDA. The advantage of a more systemic approach is that the MDA develops a plan and exhibits commitment to mentor and develop employees so that they are ready to take over responsibilities. Organizationally, it allows all managers to know who the key employees are in all MDA departments, and to consider such strong players when a vacancy in a key role opens.

Contemporary Succession Planning

Figure 24 establishes that contemporary succession planning should not be done in isolation of the broader HR/workforce planning process. Specifically, a gap analysis might identify succession planning as one of several priority strategies for the MDA. Based on the identified gaps, succession planning processes should start with the establishment of a HR committee partly made up of professional HR practitioners to embark on Succession Planning.

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[6] People defined by identity which address gender and be socially inclusive – geographic areas, etc
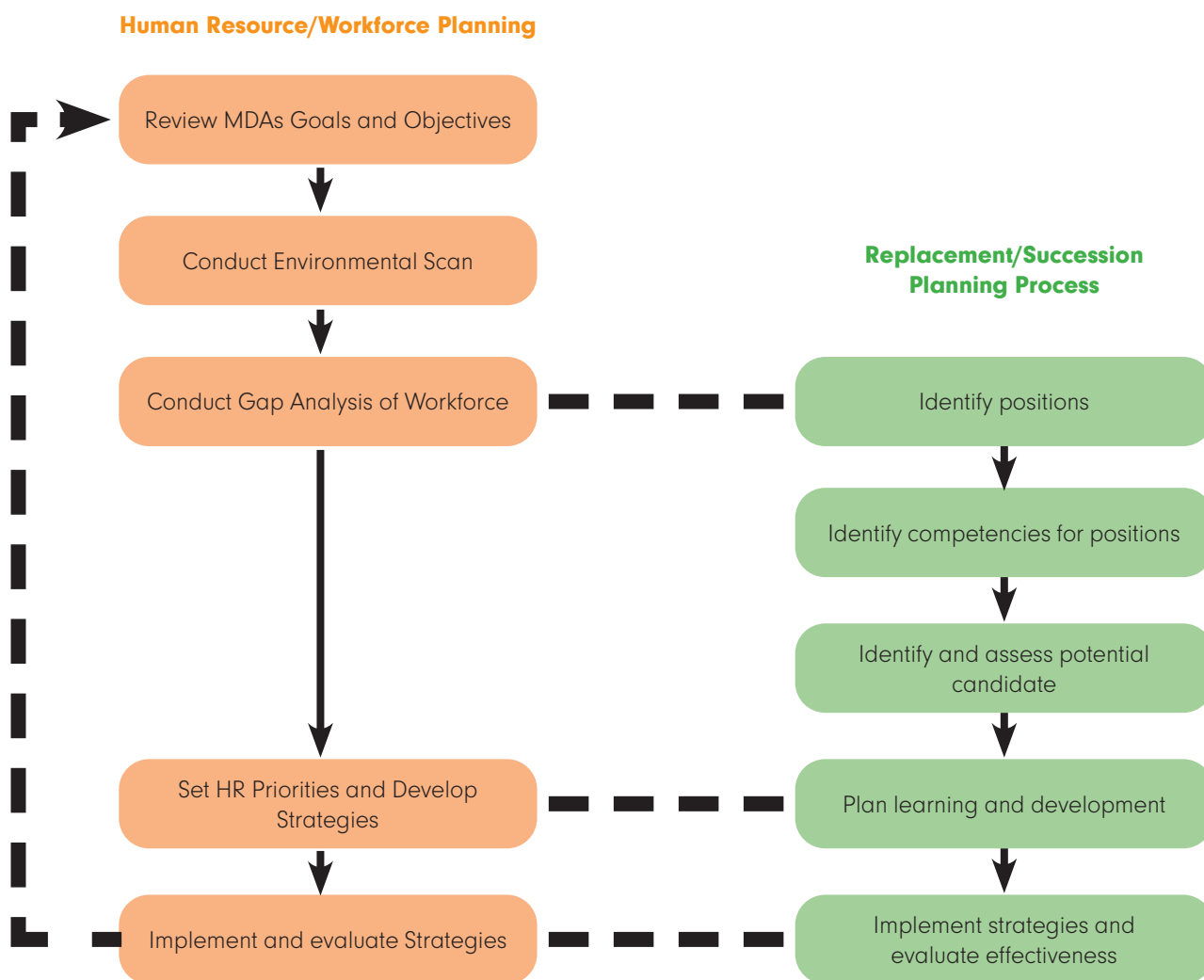
Human Resource/Workforce Planning

Figure 25: Succession Planning in the Civil Service

Rationale for Succession Planning

The challenges facing the civil service provide clear rationale for Succession Planning. In addressing these challenges through the development and implementation of robust Succession Planning, there will be benefits for both employees and the MDAs.

For the MDA, a good Succession Plan:

a) Ensures a sustainable future for the MDA by facilitating a smooth transition from one management team to another;

b) Helps to capture employees' knowledge, established patterns, and a culture of excellence (institutional memory) before these

'walk out' with the departure of a manager; and

c) Addresses the concern of management on the gap between the top-heavy hierarchies with 'thin middle'.

There are also some benefits for the employees in a well-planned succession planning exercise, which include:

i)   Knowing your next role boosts employee's self-esteem and self-respect and enhances efficacy and value;
ii)   Reinforcing the desire for career development and career opportunities;
iii) Identifying skills, experience, and development opportunities necessary to prepare for progression; and
iv)   Knowing s/he has a career plan that moves her/him to next opportunity.

Successful succession planning requires MDA consultation with the Civil Service Commission to ensure that the steps used for identifying potential candidates support decisions that are based on merit, fairness and respect. Succession Planning goes beyond regular recruitment practices so requisite skills of identified candidates are developed prior to the formal internal ("grow our own" leadership) recruitment process that begins once a position to be filled has been identified.

Leadership, management and other trainings could also be carried out by Management Development Institutions[7] which include the Administrative Staff College of Nigeria, the Public Service Institute of Nigeria, and Centre for Management Development.

Once a succession plan has been developed, monitoring its efficiency and effectiveness will be essential. Therefore, a succession plan should be developed within a Monitoring & Evaluation framework to measure progress and success, as well as provide any evidence to support changes to the Succession Planning process.

How PERL Can Help

PERL supports state and federal governments to develop implementing tools around the five stages of the Succession Planning process.

Figure 26 below outlines some of the key steps in each of the stages, where the programme can lend support.

Review goals, Environment scan, Gap analysis			HR Priorities	Implement Evaluate
Identify Key Positions	**Identify Competencies**	**Identify & Assess candidates**	**Learn & Development plan**	**Implement & Evaluate**
• Current & future strategic goals. • Retirement forcast. • Turnover rates. • Current & expected vacancies. • Change existing services. • Highly specialized functions.	• Review JDs, Adverts & merit criteria. • Interview job incumbents. • Interview, supervisors, clients etc. • Conduct FGDs & surveys. • Review leadership competencies etc. • Review org values.	• Written exams. • Candidate interviews. • Review CVs. • Stimulated work exercises. • Performance reviews. • Reference checks. • Talent review meetings.	• Job assignments to develop/ improve competencies. • Job rotations. • Format training. • Mentoring, coaching, shadowing. • Document imp knowledge. • Exit interviews. • Establish communities of practice.	• Link bw inputs, activities, outputs, outcomes. • Impact: goals & objectives. • Functional strenghts & weaknesses. • Gaps bw planning & assumptions. • Cost-effectiveness & cost benefits.

(left vertical label: **Succession Planning Process**)

Figure 26: Succession Planning Process

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[7] These are senior and middle management level Federal training outfits

Stage 5:
Performance Management

Guide to Producing Service Charters

Note that the production of service charters is not an integral requirement of the Corporate Planning process. But guidance is included here for those situations where an MDA is ready to, or has already begun to; work on service delivery initiatives which need to be linked to the Corporate Planning process.

Essential components of a service charter

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

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

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

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

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

6. **Complaints/Grievance redress mechanism**
    Clear statement of MDA assurance on feedback to convey that MDA welcomes complaints, compliments, suggestions. Clear explanation of procedure for complaints:
    •   How to make a complaint, who to complain to including relevant postal, email addresses, and phone numbers. Include options (e.g. in person, comment card) and time limit to address complaint;
    •   How to give feedback specifically about the charter itself;
    •   That the feedback and complaints handling process is accessible, easy to use and free;
    •   That the agency records data on complaints, compliments and suggestions and this is used to help improve client service; available redress (e.g. apology, repeat service, refund, etc.)

7. **Customer's obligations**
    Clear and reasonable statement of what is expected of customers:
    •   To provide necessary information;
    •   Attend scheduled meetings;
    •   Comply with legal requirements; etc.

8. **Stakeholders' participation**
    Method and frequency of participation.

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

10. **Review**
    The service charter should be a living document that evolves in line with changes that occur within the MDA. This means that MDAs must regularly review their service charters as improvements are made on practices, processes and procedures to ensure its ongoing relevance and effectiveness. Issues to consider include:

- Whether the service commitments and standards are still relevant, realistic or challenging;
- Whether the current content is accurate (e.g. change in name, mandate, profile, contact details or other information earlier provided);
- Frequency of review (annually or every two years).

Broad guidelines for developing a service charter

In implementing the service charter policy, MDAs shall be guided by the following provisions:

- **Formation of a Central Charter Committee by the MDA with membership drawn from various departments:**

  ✓ The Charter Committee is to adhere to the following guidelines in formulating the MDA's charter:

  > o Articulate the mandate, vision and mission statement of the MDA;
  > o Prepare for stakeholder consultation;
  > o Conduct consultation with staff, customers, partners and stakeholders;
  > o Prepare first draft service charter containing specific service standards;
  > o Circulate first draft to stakeholders, customers and staff for comments, suggestions and assent;
  > o Submit modified second draft to management of MDA for approval and sign-off;
  > o Submit approved final draft to [   ] for endorsement to confirm conformity with standard.

  ✓ Arrange production of service charter in different forms: booklet, fliers, pamphlets, leaflets, posters, compact discs and other electronic forms including using various languages, local dialects, braille, abridged version, etc.
  ✓ Launch charter.
  ✓ Publicise charter (website, media, stakeholders, all service windows, state-wide, and electronic and digital displays, etc.).
  ✓ Paste abridged versions in reception area of every service window and service frontline.

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

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

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

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

Sample minimum standards for state-wide applicability

- Stakeholders and relevant members of the public must be provided with:
  o Comprehensive and accurate information about the services provided government MDAs and through the Local Government Authorities (LGAs);
  o Information about how government institutions are managed, how much they cost and who is in charge;

- o Opportunity to contribute/provide feedback on the relevance and quality of services provided by government.

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

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

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

What the Service Charter policy means

Every MDA has been asked to make sure that:

- They attend to their customers quickly in a way that is friendly and polite;
- They treat all customers equally and deliver good quality service;
- They give customers all information about services available through their offices;
- They make sure that there is a system that allows customers to complain if they are not happy with any service;
- They tell the customer about the complaints system and teach them how to use it;
- They consult their customers from time to time to find out if customers are satisfied with government services.

How will this be done?

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

How to improve Service Delivery

Part 1: The service improvement cycle

What do we mean by service delivery?

Service delivery is a term commonly used to capture the idea that government organisations exist to provide services to meet the expectations of their 'customers'. Service improvement initiatives intend to promote a public service culture in which service standards are defined, performance against service standards is measured and civil servants are encouraged to improve the services they provide continuously.

The concept of service delivery is extremely broad: ranging from basic standards for the delivery of specific services to citizens (e.g. frequency of refuse disposal, quality of roads, waiting times at clinics) to agreements for the provision of services between ministries, departments and agencies (MDAs) (e.g. timely publication of accounts, budget releases, quantity and quality of training carried out on behalf of MDAs). Customer satisfaction, service accessibility, provision of information and complaints procedures are also important aspects of service delivery.

SERVICOM in Nigeria

In Nigeria, the SERVICOM initiative was launched in 2003 to promote improved service delivery. SERVICOM is an acronym for Service Compact. Based on the UK government model of service improvement, SERVICOM was intended to ensure that MDAs:

- Designed high quality services to meet customers' requirements
- Set out citizens' entitlements in ways they could readily understand
- Committed to provide services within realistic time frames
- Specified officials to whom complaints could be addressed
- Made service information (including fees and complaints arrangements) accessible to the public
- Conducted and published periodic surveys of customer satisfaction
- Many state governments and MDAs have adopted the SERVICOM model.

Where do service charters fit in?

The development of service charters is central to improving service delivery, and forms the heart of the SERVICOM approach. A service charter is a public document that:

- Informs clients about an MDA's services
- Outlines citizens' rights and responsibilities
- Specifies standards of service delivery in the form of a series of commitments
- Sets out arrangements for complaints when service fails.

However, a service charter is only the formal expression of a process of defining standards, evaluating an organisation's ability to achieve those standards, reviewing performance against the standards and planning continuous service improvement.

Step-by-step process for improving service delivery

SPARC has developed a 'service improvement cycle' model, which is summarised in Figure 27.

Figure 27: The service improvement cycle

SLA: Service level agreement
SC: Service charter
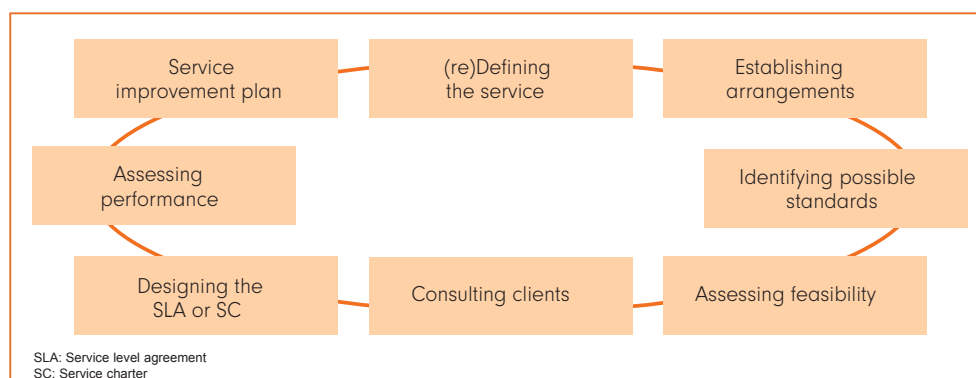
As Figure 27 shows, service improvement begins by defining a service, and establishing arrangements to manage the service improvement cycle. The next stages involve identifying standards and designing a service charter setting out specific feasible performance commitments, in consultation with users and providers of the service. Once a service charter is in place, the cycle continues with assessment of performance against the service standards contained in the service charter, identification of areas for further improvement and preparation of a service improvement plan (SIP).

The service improvement cycle is an iterative process designed to bring about a constant focus on service delivery and sustained service improvement. The remainder of this part of the guide will look at each of the steps in detail.

Before you begin – Is service improvement right for you?

Like any other change process, the first step is to decide whether to undertake a change at all. *Begin by reviewing the entire guide to ensure that you have a good understanding of the service improvement model. Consider some of the lessons from states that are already making efforts to improve service delivery.* **Then come back to the checklist and exercise below to help you to decide whether to proceed.** The checklist presents questions to consider before beginning. The exercise provides you with a template to help you plan the service improvement process.

Checklist: Before you begin

Consider the following questions:	YES	NO
1. Is there a demand for service improvement?	☐	☐
a. Is there political commitment?	☐	☐
b. Is the interest state-wide or specific to one sector or MDA?	☐	☐
c. Are senior managers committed?	☐	☐
d. Are service users demanding improvements?	☐	☐
2. Can the service be clearly defined and described?	☐	☐
3. Do we have information about the current level of service delivery for this service?	☐	☐
4. Do we have sufficient knowledge and expertise about service improvement?	☐	☐
5. Do we have the resources to manage a service improvement initiative?	☐	☐

If, after considering these questions, you decide to proceed with a service improvement process, completing the exercise that follows should help you to develop a plan of action.

Exercise: Developing a plan

Complete the table below.
You may also find it useful to return to this exercise when you have finished working through the entire cycle, as a final check that you have covered all of the major points.

Points to decide	Decisions	Action to be taken	Who is responsible
Who will manage the service improvement initiative?			
Will this be a centrally managed initiative or take place at the level of an individual MDA?			
Who else should be part of the team?			
Do we need a high-level steering committee?			
Who should be members of the high-level committee?			
What approach should we adopt?			
What is a realistic timetable?			
What are the key milestones?			
Who needs to be informed?			
How will we inform these people?			
Who else needs to be involved?			
How will we involve them?			
Will we need expert help?			
Who can provide the expert help we need?			
What will the exercise cost?			
Do we have sufficient funds?			

Hints and tips on each stage of the service improvement cycle

This section provides detailed guidance on each of the stages in the service improvement cycle shown in Figure 27.

1. Defining services

The process of defining services begins at the highest level. The organisation's mandate and any strategic objectives (for example, captured in a state development plan (SDP) or medium-term sector strategy (MTSS) will provide a general framework for the services to be provided.

MDAs should focus on their most important services. Most MDAs provide many services and it would be unrealistic to expect to improve the delivery of all of these in one exercise. The exercise below provides you with some criteria for deciding which services are the most important.

Tip: Involve stakeholders in making a shortlist of important services
MDAs should shortlist services in consultation with service users, front-line staff who provide services and other interested parties (for example, civil society organisations). Although an MDA itself can develop the initial shortlist, a wider group of stakeholders must validate the selection of services.

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2. Establishing arrangements

Arrangements for the governance and management of the service improvement cycle should be established at an early stage in the process. There are three critical aspects:

1. **Policy and strategy oversight:** if a service improvement initiative is to succeed, high-level engagement is critical. In a number of states, the Governor has prioritised service delivery improvement, and the Executive Council (ExCo) has endorsed policies and strategies. In other states a high-level steering committee, chaired by an ExCo member or the Head of Service, may provide strategic oversight and direction.

Tip: Maintain high-level engagement
To maintain high-level engagement, a policy and strategy for service delivery improvement should be adopted and arrangements should be put in place for regular reporting at the highest level.

Exercise: Making a shortlist of important services

Consider the following criteria to determine a shortlist of important services.

Criteria to consider	Examples	Comments
The scale of the service	■ Numbers of clients who receive the service ■ Volume of the service which is delivered	
The importance of the service	■ Impact on service users: ■ Daily lives, e.g. provision of water or electricity, taxes and charges ■ Key life events, e.g. medical services, registration of marriages ■ Policy priority attached to the service by government	
The profile of the service	■ Public opinion ■ Media attention	

2. Managerial responsibility and operational leadership: in addition to high-level oversight, robust arrangements for managing the service improvement cycle are essential. Without these arrangements, confusion can frustrate decision making and the initiative can lose momentum. The checklist below suggests the main management arrangements that you will need.

3. MDA-level arrangements: although a general service improvement initiative needs to be led on a statewide basis, in reality, much of the work is undertaken by individual MDAs. The exercise below will help you identify the direct responsibilities of individual MDAs.

Tip: Formal arrangements help maintain momentum

In some states a dedicated structure, such as a SERVICOM unit, may be established, while in others responsibility may be given to public service reform units (often under the direction of the Head of Service). Some states may adopt less formal approaches, such as creating task teams. In general, formal arrangements have a better chance of maintaining momentum on service improvement initiatives than informal arrangements.

Checklist: Managing a service improvement initiative

Check that management arrangements include:

Management arrangement	YES	NO
Processes for promoting the service improvement initiative to service users and other interested parties	☐	☐
Guidance and tools to assist MDAs to develop standards and service charters	☐	☐
Arrangements for measuring performance against service charter standards	☐	☐
Support and guidance on service improvement planning	☐	☐
Communications, monitoring and reporting mechanisms	☐	☐

Exercise: Responsibilities of MDAs

Indicate which MDAs are directly responsible for:

Action	Responsible MDA
Identifying the services	
Determining realistic standards in consultation with clients	
Preparing and publicising a service charter	
Developing a service improvement plan	
Regularly monitoring and reporting on performance	

Tip: Formal arrangements stand a better chance of success

In some MDAs, the responsibility for service delivery is placed within the general finance and administrative function, or within the policy and research function. In others, small, dedicated service charter units have been established. Again, formal arrangements stand a better chance of success, particularly if these are explicitly linked to a state-wide service improvement initiative function, such as a SERVICOM office or public service reform unit, which is directly mandated to oversee, support and review activities.

3. Identifying possible standards and confirming feasibility

For each service that an MDA selects for improvement there should be an iterative process of defining possible standards, and simultaneously assessing the MDA's current capacity to meet those standards.

In identifying service standards, an MDA should:
- Determine the key characteristics of the service under consideration
- Consult service users to establish what actually matters to clients.
- The next exercise will help with the process of defining possible standards.

Tip: Use an iterative process to identify standards

The process of identifying standards and assessing the feasibility of delivery should be iterative, bringing together experiences of front-line staff in service delivery, actual client expectations, as well as politicians' aspirations and expectations.

Tip: Define SMART standards

The standards which are defined for each service should be 'SMART'. That is, they should be defined in such a way that they are:
- Specific
- Measurable
- Achievable
- Realistic
- Time bound.

Tip: Develop standards that describe the actual quality and quantity of services

A common pitfall in identifying service standards is to focus exclusively on administrative service standards. While it is important that the 'customer experience' should be positive, MDAs must develop standards that describe the actual quality and quantity of the public services they deliver (e.g. number of vaccinations administered before a specific age; frequency of refuse removal; administration of examinations and notification of results within a specific period).

Exercise: Identifying service standards

Complete the matrix below.

Priority service to be improved	What the service actually provides to the service user? (e.g. what, when, where, how and by whom...?)	What are service users' expectations? (e.g. timeliness of service provision, quantity of service required...)	What are the critical characteristics of service quality? (e.g. speed of service, clarity of documents, price...)
Service A			
Service B			
Service C			
Etc.			

Identifying desirable standards is only one part of the process. At the same time, MDAs should compare current actual performance with the proposed standards so as to determine whether they are actually capable of delivering the desirable standards. MDAs should do this before making a public commitment to the standards. The exercise below suggests questions to consider.

Tip: Promise only what you can deliver

It is generally true in Nigeria that operational budget and staff constraints are the single biggest threat to service delivery. MDAs should be careful not to promise to achieve service standards unless they are confident that funds and sufficient appropriately skilled staff are available to deliver what they promise.

Exercise: Determine what standards are feasible

Consider the following questions.

	Comment
What are we achieving now?	
What volume of service are we providing?	
How timely is service delivery?	
What are current levels of client satisfaction?	
What resources can we count on (skilled staff, robust systems and processes, financial resources)?	

4. Designing service charters

Service charters describe the service experience a 'customer' can expect. They contain key information about an MDA's service delivery approach and the relationship a service user will have with the agency. A service charter should contain five basic elements:

1. A description of the services provided by the MDA
2. Service standards (or service delivery targets) for key aspects of services, such as timeliness, access and accuracy
3. Service commitments describing the general quality of service delivery customers should expect, focusing on such elements as openness, fairness, courtesy and professionalism
4. Complaint and redress mechanisms that clients can use when they feel standards have not been met
5. Information about fees and associated costs of services for customers and stakeholders.

However, there is no single correct format or style for a service charter, and there are an infinite number of ways in which this information can be presented. The exercise below can help you to ensure you produce a high quality service charter.

Exercise: Assessing the service charter

Once the service charter has been drafted, complete the table below to assess whether or not it is of sufficient quality and fit for purpose.

Basic element	Specific considerations	Yes	No	Issues/Action?
Description of the services	Does the charter describe the general mandate or responsibilities of the MDA?			
	Have the most important services been prioritised?			
	Have front-line staff and the public been involved in selecting services?			
	Are the services distinct and clearly defined?			
Service standards	Do the standards specify only the key aspects of service quantity and quality? (i.e. not too many standards and not too few) Are the standards 'SMART'?			
	Can performance against the standards be easily measured and reported?			
	Will clients understand the standards and performance reports?			
Service commitments	Are administrative service standards specified? (e.g. processing times, response times, accessibility of offices, etc.)			
	Does the charter define the general quality of service that clients can expect? (e.g. courtesy, transparency)			
Complaints and redress	Is a complaints process defined?			
	Is there clear guidance on how to complain and are contact details for complaints provided?			
	Is there clear guidance on redress which may be available?			
Other information	Does the charter include general service contact information?			
	Does the charter specify fees or costs that users may incur?			
Communications	Have audience needs been addressed? (e.g. language and readability)			
	Has audience accessibility been addressed? (e.g. media and distribution)			

Tip: Review the service charter regularly
A service charter should be a living document that evolves in line with changes that occur over time. Ideally, service charters should be reviewed on a regular basis, and preferably every two years.

5. Assessing performance against service standards

A service charter is not merely a document: it is a formal expression of a commitment to deliver services to a particular standard. The commitment is brought to life only when performance is regularly assessed. The performance assessment should:

- Consider what services have been delivered
- Systematically assess the extent to which the published standards have been achieved
- Identify service successes and service failures
- Prioritise further improvements to remedy defects.

The checklist below is a guide to designing a performance assessment process.

> **Tip: Use evaluation tools to assess performance**
> The SERVICOM Index Compliance Evaluation is a useful tool for evaluating performance against service charter standards, but other tools, such as surveys, feedback forms and 'mystery shoppers' can also be useful.

6. Developing a service improvement plan

The service improvement plan (SIP) is an important tool for enabling MDAs to identify service gaps or shortcomings, and to determine how to remedy them. Again, there is no single model or approach to the development of a SIP – each MDA should apply standard good practice planning methods to develop a SIP which is appropriate to its needs and capable of guiding the organisation to improve its performance.

Checklist: Performance assessment process

Consider the following aspects when designing performance assessment processes.

Aspects of performance assessment	Guidance	Comments
Regularity and frequency of assessment	At least annually, and preferably twice a year	
Ease of data analysis	Ensure that performance monitoring information is collected and recorded regularly, and in a format that will be easy to compile into a user-friendly performance report	
Frequency of publishing assessments	This should be done regularly to inform service users and other stakeholders, and maintain staff commitment to improvement Consider including service performance as a standard element of an MDA's annual report	

Ideally, the first SIP should be prepared at the same time as, or soon after, service standards are determined and the service charter is prepared. Thereafter, it should be periodically updated to take account of the results of performance assessments. Its starting point should be the gaps between stakeholders' expectations and current capacity to deliver, which the initial feasibility assessment of proposed service standards will have revealed, as described above. Use the checklist below to guide the service improvement planning process.

> **Tip: Seek independent input and support**
> The managers who are responsible for services should prepare service improvement plans (SIPs) with the input of front-line delivery staff. An iterative process is usually required to ensure that priorities are correct and that action plans are feasible. Service managers can benefit from independent input and support during the service improvement planning process.

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Checklist: Service improvement planning process

Ensure that your service improvement planning process includes the following steps:

Step	YES	NO
1. Identifying gaps by assessing compliance (or capability for compliance) with standards	☐	☐
2. Establishing the causes of the gaps:		
a. Key functions and processes that determine achievability of standards?	☐	☐
b. Key resource issues?	☐	☐
c. Key competency issues?	☐	☐
3. Setting out clear goals, priorities and strategies for performance improvement	☐	☐
4. Developing a specific implementation plan for addressing the causes and closing 'performance gaps', which indicates specific:		
a. Actions	☐	☐
b. Responsibilities	☐	☐
5. Determining the likely cost of implementing the SIP and establishing a budget	☐	☐

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Part 2: Service improvement experiences and lessons

This part of the guide describes key experiences with service improvement initiatives in SPARC-supported states. Four in-depth case studies illustrate the variety of experiences. The section concludes by summarising the lessons learned across all SPARC-supported states to date.

Although the SERVICOM model is popular in Nigeria, there is an infinite variety of ways in which states, and individual MDAs, can approach service improvement. Seven SPARC-supported states are engaged in service improvement initiatives and these states have adopted a variety of approaches. The approaches range from a large-scale service charter programme which includes the development of service delivery units, performance assessment procedures and the introduction of SIPs; through testing by means of SERVICOM-style pilot schemes, involving a small number of MDAs; to developing and assessing the feasibility of achieving service standards before publishing any service commitments.

Lagos State has chosen to roll out a large-scale service charter initiative. The Lagos Service Charter Programme derives its momentum from the very public commitments made by the Governor and ExCo. The programme benefits from the establishment of formal service delivery units and structured support from the Office of Transformation (OoT). As a result, Lagos has made significant progress with performance assessment and introducing SIPs. Enugu State has also chosen to develop a large number of service charters, building on its previous service charter initiative. However, the resources available to the Enugu SERVICOM/ Performance Improvement Bureau limit the development of performance assessment methods and SIPs.

Most other SPARC-supported states have adopted SERVICOM-style pilot schemes, which involve a small number of MDAs. Pilot schemes are an appropriate approach for states that are interested in service delivery improvement but have no direct experience of service charters or SERVICOM-type approaches. With the exception of Kaduna, most of the states have set up temporary committees or task teams to oversee the process. Kaduna is taking advantage of its existing Bureau of Public Service Reforms (BPSR) to supervise the development and rollout of service charters, and this is clearly conferring benefits in terms of momentum and organisation.

Katsina has adopted a very different approach from the other states. Concentrating initially on developing service standards, Katsina has gone a step further and is developing and testing performance assessment tools and methods to ensure that service charters will be based on a realistic understanding of feasible levels of service delivery. This model may yield a number of important lessons about the best process to adopt.

The other SPARC-supported states – Anambra, Niger and Zamfara – are all at a very early stage of developing public service reform processes. As such, they are not yet in a position to introduce service delivery improvement initiatives.

Case studies

This section presents four case studies, chosen to provide a deeper insight into the different approaches and experiences of SPARC-supported states. Each case study is different, highlights different issues and illustrates some of the critical success factors.

The case studies are:

Enugu: illustrates the experience of two cycles of service charters – contrasting initial Performance Improvement Bureau service charters supported under a different programme with the present process.

Kaduna: illustrates the use of a service charter guideline for MDAs and the experience of supporting the development of service charters through a public service reform unit.

Katsina: illustrates the experience to date of introducing a different approach – using pilot agencies to test standards before publishing service charters.

Lagos: illustrates the adoption of a mechanism for assessing service performance, and the development of service improvement plans.

Case Study A: Comparing two cycles of service charters in Enugu State that used different approaches

What were the approaches?

Enugu's first performance improvement initiative saw the establishment of a Performance Improvement Bureau (PIB), an adaptation of the SERVICOM model, under the Head of Service in June 2005. An internal consulting unit in PIB was responsible for, among other things, facilitating the development of service charters in state MDAs. Despite this promising beginning, a review of progress in improving services in 2009 found that service charters had failed. This finding led to a new initiative, beginning with ExCo approval of a service charter policy, and the re-establishment of PIB as PIB/SERVICOM within the Office of the Governor.

What has been done to date?

The 2005 initiative resulted in 12 draft service charters (although not all of these were published). The process focused on both demand and supply: sensitising citizens on their rights to quality service, and supporting government MDAs to improve their performance by developing service standards. However, the initiative ultimately failed. Momentum stalled and service charters were not rolled out beyond the pilot MDAs. A 2009 review attributed this to:

*   The lack of a policy or a legal framework
*   Limited understanding of the concept of service charters in MDAs
*   Weak institutional arrangements at MDA level
*   Lack of resources to support MDAs to bring the service charters 'to life'.

As a result, ExCo approved a SERVICOM policy in 2010. Approval of the policy was quickly followed by a directive from the Secretary to State Government charging all MDAs to establish a SERVICOM unit in their offices.

To date, all MDAs in the State have developed service charters (12 of them directly supported by SPARC), although it is not clear whether these service charters are actually being implemented in practice.

What are the key points of interest?

The contrasting experiences of the two initiatives demonstrate clearly that without a policy framework it is difficult to maintain the momentum to sustain service charters, review performance, or begin service improvement. Equally, a strong reporting link to the most senior level of state government means that the initiative is 'taken seriously' by MDAs.

Despite these improvements, PIB/SERVICOM continues to suffer from financial constraints, which limit its capacity to lead the service improvement initiative and support MDAs.

Nevertheless, actions to raise awareness are yielding benefits: citizens are beginning to understand their responsibility for holding government accountable.

What are the critical success factors?

The most critical success factors appear to be:

- Establishing a state policy and an organisational framework for operational responsibility
- Creating a senior leader for the initiative: cabinetlevel responsibility gave the initiative momentum and overcame MDAs' indifference or resistance
- Ensuring that the agency charged with responsibility for the initiative has sufficient resources
- Sensitising service users to demand good services to keep the initiative 'active'
- Developing service standards in MDAs which already have an MTSS
- Providing adequate budget releases to enable MDAs to meet the service standards to which they have committed.

Case Study B: Supporting the development of service charters in Kaduna State through the Bureau of Public Service Reform

What were the approaches?

The Kaduna State Public Service piloted the preparation and implementation of service charters to drive service delivery to the public through MDAs. Under the Office of the Head of Service (OHoS), the Bureau of Public Service Reforms (BPSR) was mandated to drive and coordinate the preparation and implementation of service charters in the Kaduna State Public Service.

What has been done to date?

As of May 2014, service charters have been prepared for the following MDAs:

- Ministry of Education
- Ministry of Health
- Ministry of Lands, Surveys and Country Planning
- Kaduna State Board of Internal Revenue.

BPSR is currently supporting each of these MDAs to help strengthen their service standards by involving service users. BPSR is using the consultations to identify and agree priority service targets for the MDAs. Progress will be monitored and assessed in the next 12–18 months.

What are the key points of interest?

Distinctive features of the approach in Kaduna State are the use of the BPSR to help prepare and implement service charters in MDAs through continuous engagement with pilot MDAs, and agreeing specific service targets.

In late 2012, the OHoS issued a concept paper on implementing service charters in Kaduna State. This paper was the foundation for a draft service charter policy and guideline, which was finalised by a representative group of permanent secretaries in December 2012. The policy mandated BPSR to drive and coordinate the preparation and implementation of service charters in the Kaduna State Public Service.

Thereafter, pilot MDAs set up MDA service charter task teams. The teams agree clear terms of reference and quarterly milestones with BPSR. BPSR provides continuous support and advice to MDAs' service charter task teams.

BPSR briefs the Head of Service on progress and has set up a mechanism for continuous monitoring of the service charter implementation activities agreed with the MDAs' service charter task teams.

Case Study C: Introducing a different approach – pilot agencies to test standards in Katsina State

What is the approach?

Katsina State wished to build awareness and interest in performance standards and performance monitoring without prematurely committing to service charters. With only limited knowledge or understanding of service charters in the State, the initial task was to demonstrate the usefulness of defining service delivery standards and the benefits of monitoring performance.

What has been done to date?

The Ministry of Education (MoE) expressed an interest in developing service delivery standards. Thus, the exercise was carried out within the MoE and the Education Resource Centre (ERC) with the knowledge of the OHoS. A briefing note was sent to ExCo, which elicited strong support from the Governor. Although no formal management arrangements have yet been put in place, this will change if wider adoption of service charters is agreed.

Once pilot MDAs in the education sector had been selected, existing performance standards were identified, and additional standards were devised to cover all ERC activities. Capacity to monitor performance against standards was tested in one unit (Schools Inspection) to identify the measures needed to put effective monitoring in place. The proposals have been accepted and a full ERC service charter is being prepared. Thereafter, the process is to be rolled out across Katsina State Government.

What are the key points of interest?

Building a solid case for performance standards and measurement before attempting to introduce service charters creates a much better understanding of the underlying rationale for service charters.

To date this has been a low-key exercise but one that has built support and understanding of decision makers in the education sector. Briefing the Governor resulted in solid high-level support for the initiative.

What are the critical success factors?

Success has yet to be really tested – this will only come with the preparation of service charters. But the low-key, participatory approach has been critical in building internal support and understanding. This has made the process very straightforward, with no obstacles or resistance.

The critical success factors appear to be:

- Building understanding of the importance of service standards as an integral part of an organisation's operations, not just for a service charter
- Not defining standards in isolation but defining standards that can be measured. The standards need to be seen as an integral part of an MDA's operations and not merely 'aspirational statements' for a service charter document
- Defining/identifying and testing standards that are meaningful to a wider audience, and can be measured objectively. This means that the standards can be confidently included in the service charter
- Taking a modest, low-key approach is likely to make the service charter a more realistic document.

Case Study D: Mechanism for assessing service performance and the development of service improvement plans in Lagos State

What is the approach?

Lagos State adopted the SERVICOM model for service charters (policy and guidance) as early as 2010. Service charters are a high priority, state-wide initiative. Initially, a committee led by the Head of Service oversaw the development of the policy and process. The Office of Transformation (OoT) was then designated as the lead agency to support the rollout of service charters. Lagos deliberately chose to move quickly, not only introducing service charters, but also creating organisational arrangements in MDAs, and rapidly initiating performance reviews and the introduction of service improvement plans (SIPs).

What has been done to date?

The Governor launched the first wave of 14 MDA service charters in 2012. Eventually, the plan is for each MDA to have a service delivery unit (SDU) that is responsible for the charter and SIP. The Governor commissioned an impact evaluation of the 14 service charters in December 2012. Lagos State has extended service charters throughout the Ministry of Education and the Ministry of Health. A second wave of charters is planned for 2015.

The OoT is currently assessing performance against service standards (using the SERVICOM Index as the core assessment tool3) and the quality of draft SIPs. Overall, MDAs' SIPs have been rated 60–75%. Action plans for further improvements are in place or being prepared.

At this point, not all of the MDAs that have prepared service charters have functioning SDUs nor are likely to have active SIPs. Nevertheless, there is some visible impact (particularly in terms of improving reception services and ensuring that the public have positive experiences of MDAs).

What are the key points of interest?

The experience in Lagos State shows that the right 'champion' can make a difference in a very short time. The fast rollout was deliberately designed to maintain momentum by embedding the service delivery approach in MDA structures and processes. Since the initial adoption of the service delivery approach in 2012, Lagos has held its first service charter week – in May 2014 – where awards were presented. The service charter week is now intended to be an annual event.

The Governor has been the critical champion, demonstrating his commitment throughout the process: he formally launched the 14 charters, commissioned the impact study and sponsored the high profile 'Service Charter Week 2014'.

Publicising the initiative has been a key feature of the strategy. For example, Service Charter Week 2014 included inputs from academia and civil society, private sector sponsorship and an exhibition space, as well as an award ceremony.

What are the critical success factors?

The most critical success factors appear to be:
- Winning the Governor's personal interest by beginning with MDAs that provide services which are policy priorities
- Creating a dedicated core team with visible support
- Establishing the commitment of the officer responsible for leading the operational side of service improvement
- Building momentum steadily and preparing for a long process. Keeping the medium-term target in view
- Recognising that the process will take longer than political leaders often expect: even building the capacity of the lead agency can take years
- Publicising and celebrating success.

The key obstacles faced were:
- Initial training activities were 'wasted' because arrangements for implementation were not fully in place. As a result the participants 'dispersed' and training had to be repeated
- It has proved difficult to move away from service charters and SIPs that focus on administrative improvements rather than standards related to users.

Lessons learned from service improvement initiatives

As described above, each SPARC-supported state has developed its own specific approach to introducing service improvement initiatives. This has meant a rich variety of innovations has been tested. Many lessons have been learned. In general, experience has confirmed that there is scope for a diversity of approaches, tailormade to the capacity and priorities of states. MDAs have taken approaches ranging from a full, formal SERVICOM model to more cautious 'pilot testing and readiness-building'.

This section summarises the key lessons learned from the experience of service improvement initiatives in SPARC-supported states to date.

Policy and strategy

- Service charters can only be used effectively where a service is clearly defined and is either the responsibility of one identified MDA, or is subject to clear, agreed and robust coordination arrangements between responsible MDAs.
- Adoption and publication of a service improvement policy and strategy is helpful in setting the direction and overall objectives of any service improvement initiative.

Leadership

- Formal governance arrangements are more successful than informal arrangements.
- Strong leadership from the highest level of state government is a prerequisite for success. States where the Governor is directly involved make most rapid and consistent progress.
- At the same time, it is vital that political leaders understand the implications of making commitments to service standards, in terms of raising citizens' expectations.
- As far as possible, ownership of the process should reside with the decision making senior managers of an MDA rather than a steering group or task team per se.
- There should be explicit links between MDA-level arrangements and a state-wide service improvement agency or unit, which is directly mandated to oversee, support and review MDAs' activities.

Managing the process

- A systematic approach to planning and managing the rollout of service improvement initiatives is important. This should cover activities such as: launching the initiative; deciding the approach; targeting MDAs; developing a timetable; and reporting progress.
- Building the readiness of MDAs and civil servants is important. Progress has been slower where insufficient attention has been paid to raising awareness and other preparation.
- It is essential to ensure that the MDA-level service delivery units/teams have the necessary knowledge and skills to manage the process.

Defining standards and service commitments

- Sufficient time should be invested in clearly defining a service and ensuring that standards are appropriate, reflect service users' priorities, and are feasible within an MDA's resources and capacity.
- In particular, MDAs must be absolutely realistic about the level of budget releases which they can expect to receive, and the implications for performance if funds are not available.
- MDAs should resist over-ambition (in the form of tackling too many services simultaneously, making too many service commitments, or setting unachievable service standards).
- Political leaders should resist the temptation to make high profile commitments and over-promise improvements.

Consultation and communications

- An effective and sustained communications campaign raises the profile of a service improvement initiative, both within government and service users.
- A clear communication strategy helps to ensure effective consultation and engagement of service users in the design and implementation of a service improvement initiative.
- Consultation processes in defining a service and designing standards should have as much input as possible from both clients of a service and front-line service providers.

Importance of monitoring

- It is generally true that only what is measured and reported is delivered. Without performance reviews or publication of performance results, service charters are meaningless.
- It is essential to plan and design monitoring and review arrangements alongside the initial development of service charters, and to put these arrangements into effect as soon as possible.
- Particular attention should be paid to arrangements for sharing the outcomes of monitoring with stakeholders, and for ensuring that any remedial action required is also reviewed and reported.

Maintaining momentum

It is apparent that, after an initial period of enthusiasm and activity, states, individual MDAs and even individual civil servants lose interest in a service improvement initiative. It is critical to maintain momentum by, for example:

- Rapidly defining performance measurement mechanisms and applying these promptly
- Regular reporting to ExCo
- Publishing performance results in the media (press and radio)
- Initiating regular reviews and updates of service charters
- Introducing and supporting the development of SIPs
- Involving service users or civil society in assessing and commenting on performance.

Stage 6:
Corporate Plan Implementation

Corporate Planning Implementation Process

Example of Corporate Planning Implementation Plan

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

MDA sample Corporate Planning implementation plan

Action

Mandate the Corporate Governance decision making body to oversee and lead the implementation of recommendations

Review the recommendations to date and ensure they are covered by the implementation and action plan and that any changes to the mandate have been submitted for the Gazette

Ensure gaps identified in the draft Corporate Planning (e.g. missing organograms, process maps) are plugged and the draft updated

Draw up an implementation plan to include recommendations and actions agreed in Stages 1-4 of the Corporate Planning including:
- the revised structure, functions and processes
- new directorates
- merged functions and directorates
- move functions and jobs
- determine which jobs and staff move
- communicate the changes

Draw up an MDA organogram

Agree the revised the Establishment plan

All Directorates to review and update objectives, functions and processes

All Directorates to publish organograms including all posts and job grades

All Directorates to agree job descriptions for all staff – adopting and adapting the model job descriptions

All Directorates to produce work processes and operating manuals

Agree actions to eliminate duplicated functions in and between the MDA directorates and other MDAs

Draw up a Strategic Plan for [   ] that is related to the State Development Plan; the Medium Term Sector Strategy and the MDA's strategic role in CS governance

Agree HRM strategy for the MDA that includes recruitment and staff career development

Agree the Staff Workforce Plan

Produce tailored Staff Training and Development Plan

Monitor Corporate Planning implementation [monthly] and report to the Corporate Governance Decision body

Update the Corporate Planning on major changes or at least quarterly

Initiate Corporate Planning Improvement plan

Lead responsibility	Completion date
HC and PS [ ]	July 2013
Decision body	July 2013
Directors	July 2013
Decision body and Directors	August 2013
Decision body and Directors	September 2013
D HR&A with Directors	December 2013
Decision body and Directors	December 2013
Directors	December 2013
D HR&A with Directors	December 2013
	December 2013
Decision body	December 2013
Decision body	January 2014
Dir HR&A and Decision body HOS	March 2014
Dir HR&A	March 2014
Decision body and Dir HR&A	March 2014
Decision body	
Decision body	
Decision body	Mid- 2014

Annexes:
(See Sample Templates and Tools Folder)

Sample Templates and Tools

Sample Templates and Tools	Introduction to Corporate Planning & Process Overview	PowerPoint	1A
	CP Sensitisation Exercise Template	Word	1D
	Sample Corporate Plan	Word	1J
	Articulating the Mandates, Vision, Mission, Core Values	PowerPoint	2B
	Guidance & Template for SWOT, LTG & Medium-Term Objectives	Word	2C
	SWOT Analysis, Long-Term Goals, Medium-Term Objectives & Strategies	PowerPoint	2D
	Functions, Structure and Process Reviews Presentation	PowerPoint	3B
	Guidance and Templates to Assist with Process Review	Word	3C
	Establishment and Workforce Planning Presentation	PowerPoint	4B
	Establishment and Workforce Planning Template	Word	4C
	Replacement and Succession Planning Presentation	PowerPoint	4.1B
	Succession Plan Guidance and Templates	Word	4.1C
	Replacement Plan Template	Word	4.1D
	Developing and Implementing a Service Charter Presentation	PowerPoint	6B
	Sample Service Charter	Word	6C
	Sample Corporate Planning Training Manual	Word	6D