



*Trends in
Administrative
Reform and
Citizen Centered
Public
Administration*

*Performance
Oriented Public
Administration
and Key Aspects of
Human Resources
Development*

*Ethics and Accountability
and Control Systems
in Public Administration/
Regulatory Reform
And De-Regulation*

August • September • October • 2001

بتمويل من

الإتحاد الأوروبي

من خلال مشروع المساعدة على

إعادة تأهيل الإدارة اللبنانية



Financed by the
European Union
through the
ARLA Project

Performance Oriented Public Administration And Key Aspects of Human Resources Development

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Participants List

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| 1. | <i>Presentation 1</i>
<i>"Performance Oriented Public Administration"</i> | Mr. Ruddi Vaes |
| | <i>Reference paper 1</i> | |
| 2. | <i>Presentation 2</i>
<i>"Key Aspects of Human Resources Development"</i> | Mr. Robert Polet |
| | <i>Reference Paper 1</i> | |
| | <i>Reference Paper 2</i> | |
| | <i>Reference Paper 3</i> | |
| 3. | <i>Biographies</i> | Mr. Ruddi Vaes
Mr. Robert Polet
Mrs. Haneen Salem
Dr. Adnan Iskandar |

CONFERENCE I

A. TRENDS IN ADMINISTRATIVE REFORM

OBJECTIVES OF CONFERENCE

- To explore the key elements of policy making, in relation to the modernisation and public administration reform.
- To explore the application of new processes for creating policy in the Lebanese situation.
- To promote the demand for reform within the public administration.
- To explore how to create demand for reform in society.

B. CITIZEN CENTRED PUBLIC ADMINISTRATION

OBJECTIVES OF CONFERENCE

- To explore the concept of quality development in service delivery within public administration.
- To explore the principles of a public delivery system in consultative relationships with the private sector and civil society.
- To explore the possibility of attributing to citizens responsibilities in terms of self-certification as a turning point in the process of administrative simplification.
- To examine how to ensure the protection of "public interest" through regulatory consultation with particular focus on the "public hearings" conducted in some countries by regulatory agencies, the organization and management of "observatories" on simplification, the requirement for "notice and comment" for law proposals and the government regulations (including ministerial decrees).

CONFERENCE II

A. PERFORMANCE ORIENTED PUBLIC ADMINISTRATION

OBJECTIVES OF CONFERENCE

- To open the debate on output oriented government and to explore the development of performance measurement.
- To discuss the development of specific initiatives which encourage and reward improvement in public service delivery.
- To review the principles of effective performance management mechanisms and discuss the purpose and benefits of performance measurement.

- To address the issue of performance indicators which will demonstrate effective performance to taxpayers, and public sector managers.

B. KEY ASPECTS OF MANAGING HUMAN RESOURCES

OBJECTIVES OF CONFERENCE

- To examine the implications of the modernisation of public administration on 2 aspects of staff management; Leadership and Team Building.
- To review the Human Resources policies and strategies to meet the challenges of modern public administration.
- To address issues related to key aspects of Human Resources Management within the modern public sector, i.e. recruitment, selection, training, performance evaluation, etc.

CONFERENCE III

A. REGULATORY REFORM AND DE-REGULATION

OBJECTIVES OF CONFERENCE

- To examine Regulatory Reform and De-regulation, together with the key aspects of regulatory review and implementation of reform, with special reference to the Lebanese situation.
- To review the critical technicalities in the process of simplification and de-regulation such as "self certification, substitutive declaration and de-legislation.
- To assess the possibility of recurring to de-legislation, in the Lebanese context, as a key tool in the preliminary phases of de-regulation.

B. ETHICS, ACCOUNTABILITY AND CONTROL SYSTEMS IN PUBLIC ADMINISTRATION

OBJECTIVES OF CONFERENCE

- To explore the requirements and elements of a code of ethics appropriate to a modern public administration.
- To identify the basic elements for a code of ethics specifically relevant to the Lebanese public administration.
- To identify the role and functions of an effective control system in public administration.

السيدات والسادة المشاركون في الندوة الثانية من سلسلة الندوات حول الإدارة العامة الحديثة:

١٥-١٦ أيلول ٢٠٠١ فندق الشيخ، بحدون

١. ميلاد القارح
٢. محمود عز الدين
٣. كمال فؤاد الحاويك
٤. جمال كريم
٥. ابراهيم أ. الخوري
٦. حسن غصن
٧. ناجي اندراوس
٨. أحمد عويدات
٩. حسان هاشم
١٠. عبد الحفيظ القيسي
١١. انطوان خوري
١٢. خليل خزاقة
١٣. فادي النمار
١٤. كلود مسعد
١٥. فاروق قبلان
١٦. جوزيف عبد الاحد
١٧. انطوان شمعون
١٨. طوني الحلو
١٩. برج هاشيان
٢٠. نمر فريحة
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٢٥. زكريا غدار
٢٦. دنيا خوري
٢٧. وليد الخطيب
٢٨. توفيق حمصي
٢٩. موسى حبيقة
٣٠. خليل حبل
٣١. أنطوان جبران
٣٢. يوسف نعوس
٣٣. هلا شخبيي
٣٤. ابراهيم وهبي
٣٥. شوقي الحاج
- محافظة البقاع
- مدير عام إدارة الأبحاث والتوجيه في التفيتش المركزي
- رئيس مجلس إدارة/مدير عام مؤسسة IDAL
- رئيس مجلس إدارة/مدير عام مصلحة سكك الحديد والنقل
- رئيس مجلس إدارة تلفزيون لبنان
- عضو المجلس الأعلى للجمارك
- مدير عام إنشاء وتجهيز المواصلات السلكية واللاسلكية
- مدير عام الاستثمار في وزارة الإتصالات
- مدير عام الاستثمار - وزارة الطاقة والمياه
- مدير عام النقل البري والبحري
- مدير عام مكتب الحبوب في وزارة الاقتصاد
- مدير عام مصلحة الأبحاث العلمية الزراعية
- مدير عام الطرق والمباني
- مدير عام الشؤون الفنية في المديرية العامة لرئاسة مجلس الوزراء
- مدير عام/رئيس فرع الشؤون القانونية في رئاسة الجمهورية
- مدير عام التنظيم المدني
- مدير عام المؤسسة الوطنية للإسكان
- مدير عام الطيران المدني
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- رئيس المركز التربوي للبحوث والإنماء
- مفتش عام في التفيتش المركزي
- مفتش عام مالي بالوكالة
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- مدير مصلحة مياه بشري
- مدير مصلحة مياه نبع الطاسة
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- مدير الواردات في وزارة المالية
- مدير التعليم الثانوي في وزارة التربية
- مراقب أول - مجلس الخدمة المدنية
- رئيس المصلحة الإدارية المشتركة - مجلس الخدمة المدنية
- رئيس مصلحة المراقبة - مجلس الخدمة المدنية
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- مديرة الدروس في معهد الإدارة - مجلس الخدمة المدنية
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مفتش إداري - التفتيش المركزي	٣٦. منتهى عون
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الاستاذ أندريه أميوني	مساعد محلل نظم إدارية	٨
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Office of the Minister of State for
Trade and International Co-operation**

**Commission of the European Union
MED Programme**

**ARLA-PMC Project
Inter-Ministries Conferences
Beirut, 15-16 September 2001**

CONFERENCE II

PERFORMANCE ORIENTED PUBLIC ADMINISTRATION

**Background Paper
Ruddi A. M. Vaes**

**Beirut, Lebanon – Bree, Belgium
September 2001**

**Republic of Lebanon
Office of the Minister of State for Administrative Reform**

**-
Commission of the European Union
MED Programme**

ARLA-PMC Project

**Inter-Ministries Conferences
Beirut, 15-16 September 2001**

Conference II

PERFORMANCE ORIENTED PUBLIC ADMINISTRATION

Performance Oriented Public Administration

Objectives of Conference

- ⇒ To open the debate on output oriented government and to explore the development of performance measurement
- ⇒ To discuss the development of specific initiatives which encourage and reward improvement in public service delivery
- ⇒ To review the principles of effective performance management mechanisms and discuss the purpose and benefits of performance measurement
- ⇒ To address the issue of performance indicators which will demonstrate effective performance to taxpayers, and public sector managers.

APLARC - SEP 91 10

Performance Oriented Public Administration

Contents of Background Paper and Presentation Flow (1/3)

- Overall framework: public sector reform
- Performance management and accountability
- Performance management and measurement (PMM)
- The necessary enabling environment for systemic PMM
- Positive connotation of PMM
- PMM tools kit: the Logical Framework

APLARC - SEP 91 03

**Contents of Background Paper
and Presentation Flow (2/3)**

- PMM tools kit: Programme Cycle Management
- The 3 E's of Performance Management
- Schemes Input-Output process and performance management
- The integrated system framework
- Client orientation, participatory systems and stakeholder ownership

**Contents of Background Paper
and Presentation Flow (3/3)**

- The role of evaluation in PMM
- Performance indicators as cornerstones of performance measurement
- Types of objectively verifiable performance indicators
- Functionality and benefits of performance measurement

Background Materials : Contents

1.

Overall Framework: Public Sector Reform

ARLAC - SEP 01 1

Public Sector Reform as Framework
for Performance Management

- Public concern national debt reduction
- Good governance
- Declining confidence in political leadership
- Growing demands for better and more responsive services
- Better accountability of taxpayers' money
- Focus on achieving results
- Globalization of the economy

!!
R
E
F
O
R
M
!!

ARLAC - SEP 01 00

Performance Oriented Public Administration

**Some Common Aspects in
Reform Packages towards
Performance Management** (OECD - '99)

- Focus on performance issues (efficiency, effectiveness, quality of services:
- Devolution of management authority and responsibility
- Orientation to customer needs and preferences
- Participation by stakeholders
- Reform of budget processes and financial management systems
- Application of modern management practices

ARLAC - SEP 99 07

Performance Oriented Public Administration

**The Civil Servant Proponent
of Civil Service Reform**

From

Administrator

focused on

- application of rules & regulations
- activities based management

To

Manager

focused on

- vision, creativity, strategies
- results based management

ARLAC - SEP 99 07A

Performance Oriented Public Administration

Two Main Purposes for
Introduction of Performance
Management & Measurement

1. Performance Accountability

- Accountability-for- results
- Value for money
- Mandatory reporting
- Externally oriented
- Based on performance info

ARLA-KC - SEP '01 08

Performance Oriented Public Administration

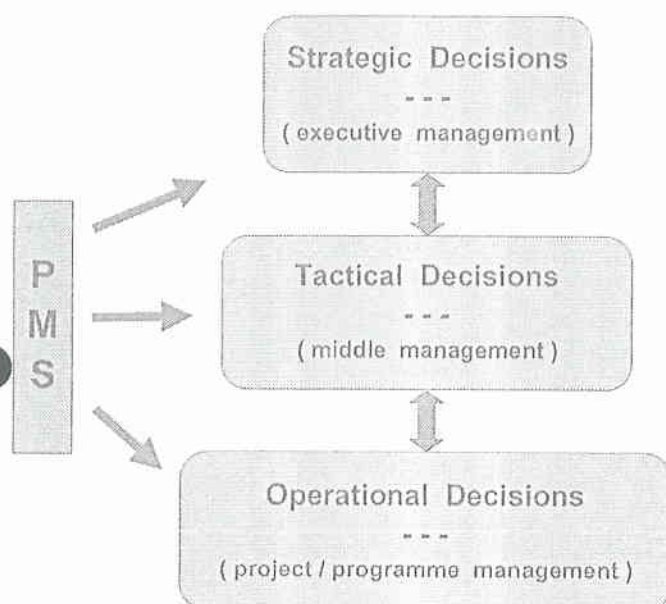
Two Main Purposes for
Introduction of Performance
Management & Measurement

2. Management Improvement

- Managing - for - results
- Used in internal management processes
- Crucial is performance info
- Pervading all key management systems and processes, incl.:
 - policy formulation,
 - strategic planning,
 - programme & project management,
 - financial and budget management
 - human resources mngt

ARLA-KC - SEP '01 09

The position of the decision-maker in the organisation / network
gives rise to different information requirements to support the decisions.



Are concerned with long-term development
& planning for the whole organisation, and
with positioning the organisation in the
environment to meet its targets

Are concerned with the tactical planning
and control of the organisation's key
components, particularly with the
operational performance of its primary
activities

Are concerned with the ongoing daily or
routine operations of the organisation,
relating mainly to its primary activities

Information Attributes	Operational Decisions	Tactical Decisions	Strategic Decisions
Orientation	Primarily internal	Internal and external data utilized	Greater orientation to external data
Planning horizon	Immediate to next few days	Short to medium term (weeks and months)	Medium to long term (months and years)
Performance focus	Focus on current activities	Historic and current activities	Focus on predictive rather than historic performance
Coverage	Relates to specific activities	Relates to groups of activities within department / function	Coverage of total organisation
Level of detail presented	Highly detailed	Mixture of detailed and summarized reports	Data typically in highly summarized form
Uncertainty levels	Low uncertainty levels	Moderate levels of uncertainty	High levels of uncertainty as focusing on longer term
Degree of objectivity	Objectively measured data normally	Combination of objective and subjective data	Data incorporate higher proportion of subjective valuations
Level of accuracy	High levels of accuracy usually required	Moderate accuracy levels	Accuracy less critical of decisions at this level

Performance Oriented Public Administration

Two Main Purposes for
Introduction of Performance
Management & Measurement

1. Performance Accountability

- Accountability-for- results
- Value for money
- Mandatory reporting
- Externally oriented
- Based on performance info

ARLA-IC - SEP '01 08

Performance Oriented Public Administration

Two Main Purposes for
Introduction of Performance
Management & Measurement

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- Managing - for - results
- Used in internal management processes
- Crucial is performance info
- Pervading all key management systems and processes, incl.:
 - policy formulation,
 - strategic planning,
 - programme & project management,
 - financial and budget management
 - human resources mngt

ARLA-IC - SEP '01 09

**Two Main Purposes for
Introduction of Performance
Management & Measurement**

Too often, government agencies have emphasised performance measurement for external reporting only, with little attention given to putting the performance information to use in internal management decision-making processes.

OECD, 1999

Background Materials : Contents

2.
**Performance
Management
and
Measurement
(PMM)**

Performance Oriented Public Administration

**Performance Measurement
& Management (PMM)**

- Mutually dependent on each other
- Mutually reinforcing
- As the two sides of the same coin

Rationale:

**“What Gets Measured
Gets Done”**

Osborne & Gaebler, Reinventing
Government, 1993

ARLA-IC - SEP 01 11

Performance Oriented Public Administration

**Rationale for Performance
Measurement**

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

ARLA-IC - SEP 01 12

Performance Oriented Public Administration

Definitions Performance
Management and Measurement

Performance Management

- Also referred to as Results Based Management (RBM)
- Is a broad management strategy
- Aimed at achieving important changes in the way agencies operate
- Central orientation is improving performance, achieving better results

AREA IC - SEP 01 13

Performance Oriented Public Administration

Definitions Performance
Management and Measurement

Performance Measurement

- Is more narrowly concerned with production or supply of performance information;
- Focused on more technical aspects of:
 - ⇒ clarifying objectives,
 - ⇒ developing Indicators,
 - ⇒ setting targets
 - ⇒ standardizing procedures,
 - ⇒ collecting data on results (incl. effects & impact),
 - ⇒ Processing of info useful for decision making and
 - ⇒ other purposes

AREA IC - SEP 01 14

Performance Oriented Public Administration

**Relationship Performance
Management and Measurement**

Performance Measurement
is a
“ *conditio sine qua non* “
for
Performance Management

(therefore **PMM**
henceforth used as
standard abbreviation)

APHA-IC - SEP '01 15

Performance Oriented Public Administration

Definition Performance Measurement

Performance measurement

concerns the process

an organisation follows

to objectively measure

how well it is meeting

its stated objectives

APHA-IC - SEP '01 16

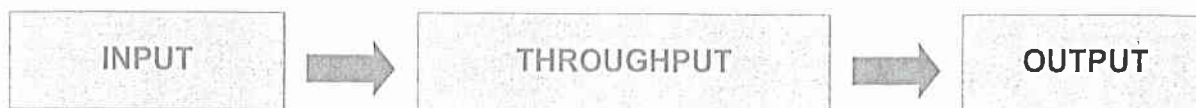
Performance Oriented Public Administration

**Process phases / dimensions of
performance measurement**

1. Articulating and agreeing on objectives
2. Development of indicators (OVIs)
3. Selection of key indicators
4. Setting targets
5. Monitoring performance (data collection on achievements)
6. Analysing those achievements vis-à-vis the preset targets (ev. periodically updated)
7. Actual use of analysed info for decision making

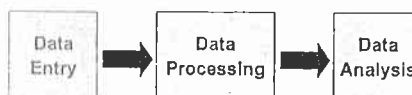
APPL-IG - SEP 01 17

Information Input - Output Process



computerized
data
processing

- * base / primary data
- * base information
- * raw information



- * listing reports
- * consolidated reports
- * statistics, graphics

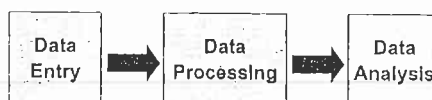
human &
group
information
handling

- * secondary information
- * discussions, meetings
- * observations
- * impressions
- * any other sources and types of information

- * intellectual processes
- * emotional processes
- * personal interactions
- * business interactions
- * social interactions

- * sharing of information
- * decisions
- * increased knowledge
- * enhanced skills
- * wisdom, insight

Information Management and Information Technology



I. T. : Information Technology

(automated processes only)

PMS

I. M. Information Management

(all types of information processes)

PMS

Performance Oriented Public Administration

Performance measurement system as tool for organisational integration and performance management

In many cases, the rationale for management underlying a decision to introduce performance information systems in their organisation or programme is more related to organisational and institutional strengthening considerations for enhanced performance management than to strictly information needs only.

AREA-EC - SEP 01 18

ARLA Inter-Ministries Conferences, 15-16 Sep 2001
Performance Oriented Public Administration

**Information Management
and
Organisational Development /
Institutional Strengthening**



are



**the two sides of
the same coin**

AREA-EC - SEP 01 19

Performance Oriented Public Administration

Background Materials : Contents

3.

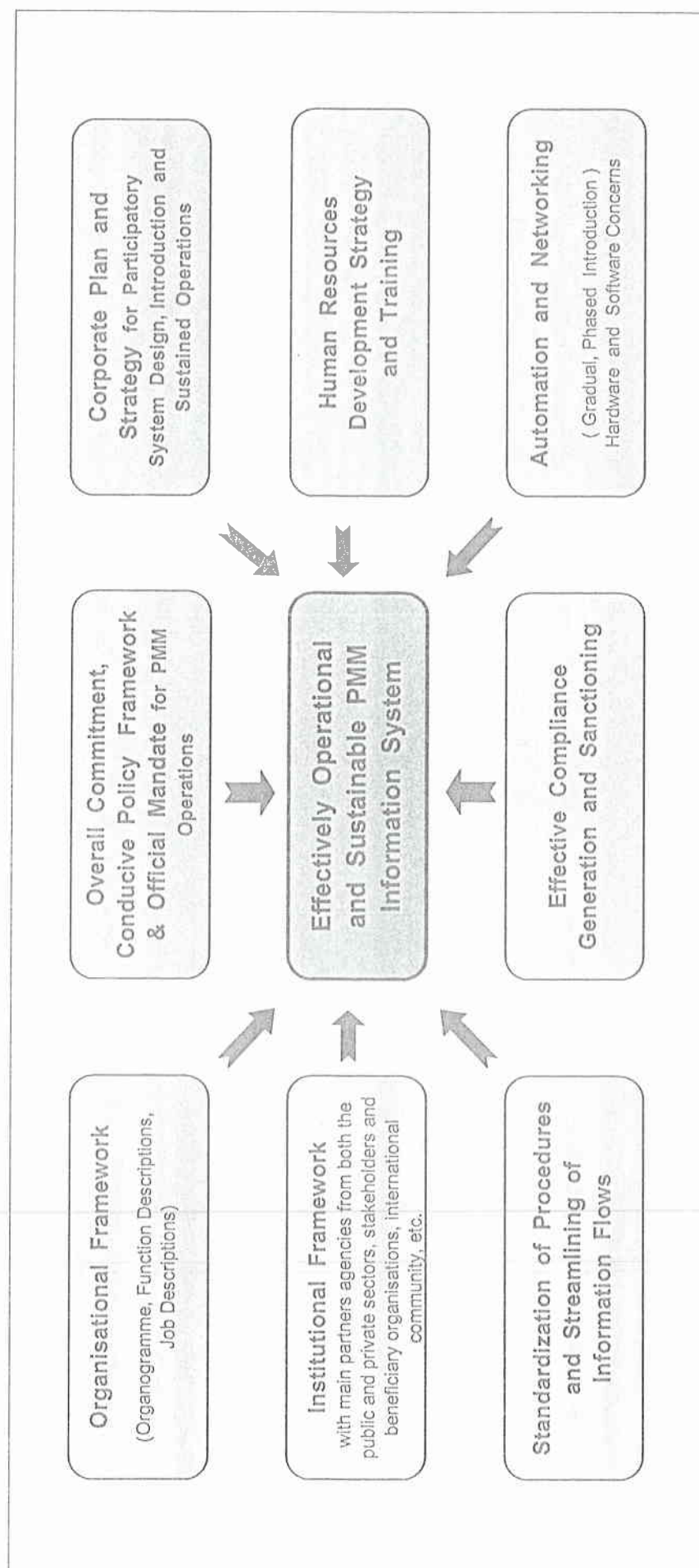
The Enabling Environment of Systemic PMM

AHLA-IC - SEP 01 III

Conference II : Performance Oriented Public Administration

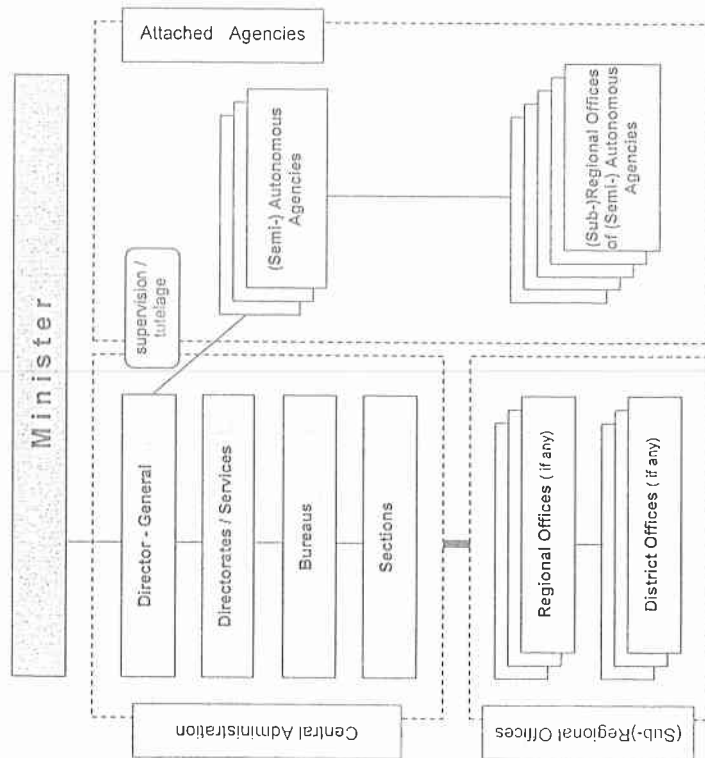
The Necessary ENABLING ENVIRONMENT of a Performance Management & Measurement System

- Main Components -



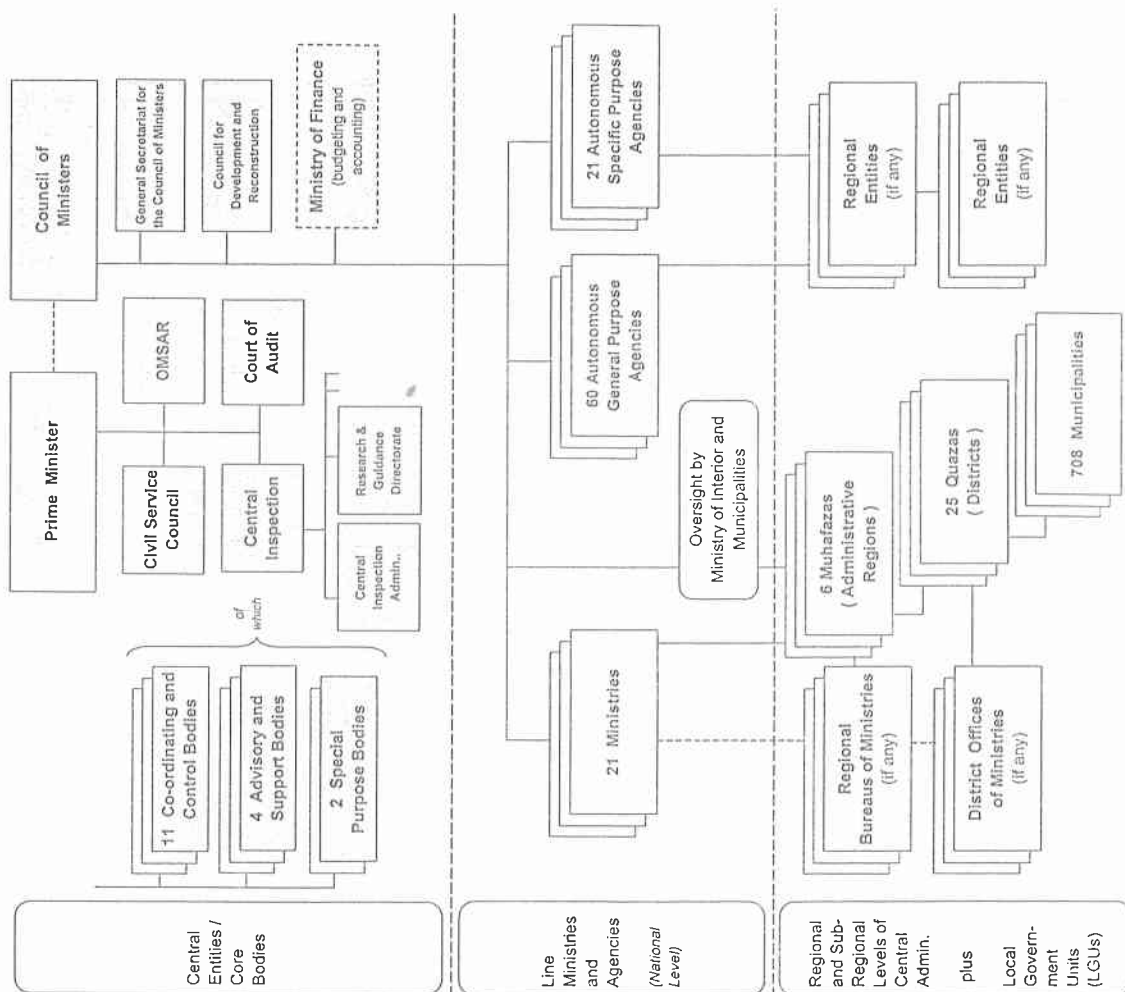
ARLA Inter-Ministries Conferences, 15-16 Sep 2001 Performance Oriented Public Administration

Overview Institutiogramme of a Line Ministry with (Sub-)Regional Offices and Attached Agencies



Institutiogramme of Main Public Administration Entities and Entity Categories, from the Perspective of Performance Measurement System Operations

01-Jun-01



Performance Oriented Public Administration

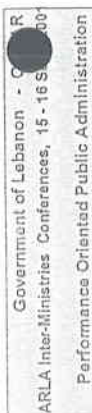
Background Materials : Contents

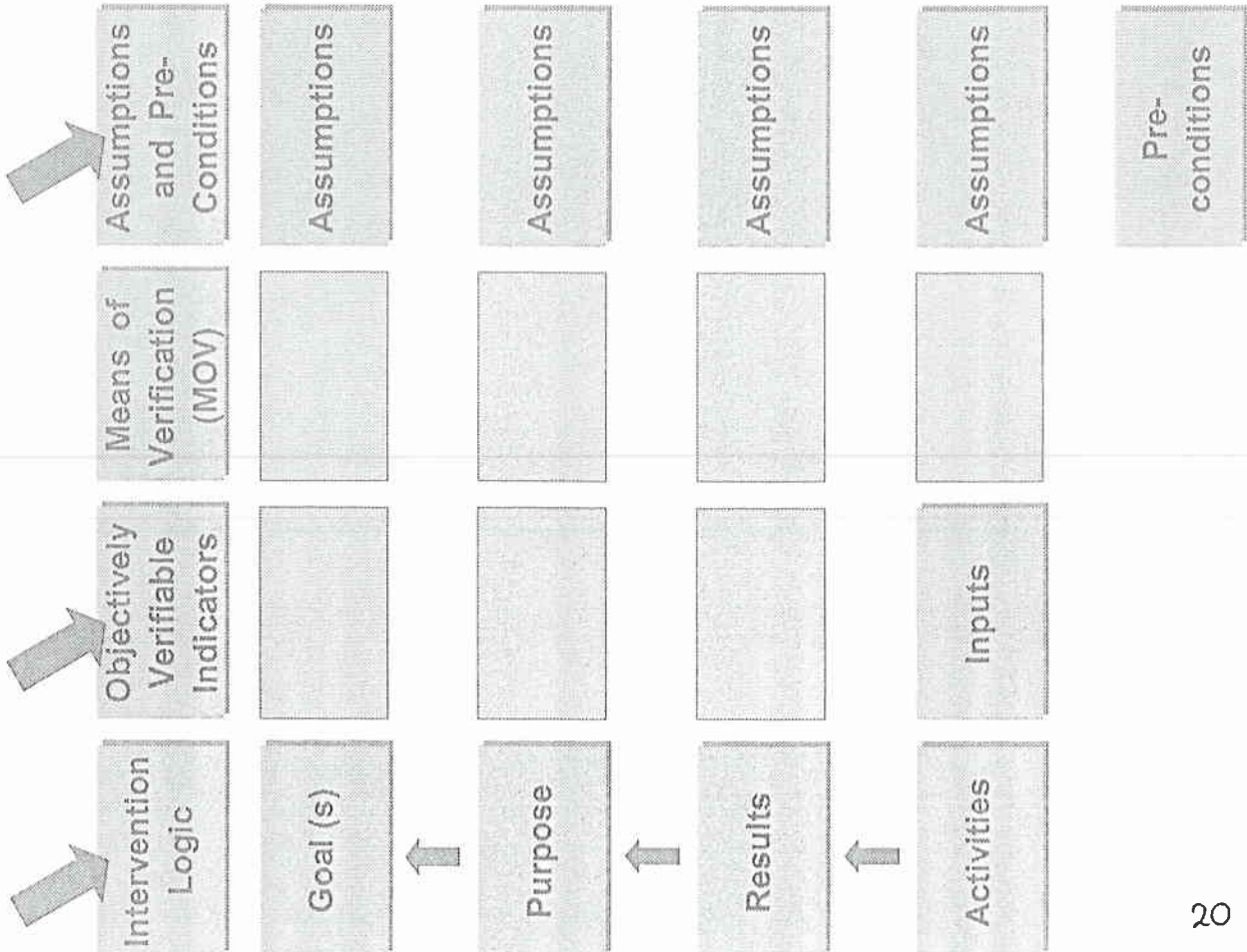
4.

PPM Base Tools:

**Logical Framework
and
Programme Cycle
Management**

ARLAC - SEP 91 IV





1. Strengthens Results, Purpose and Goal Orientation of Programmes and Actions
2. From Activities Management to Results Management (RBM)
3. Integration of All Components and Sub-Components of the Scheme (Results and Key Result Areas)
4. Concerned with the 3 "E's" of Performance Management (Economy, Efficiency and Effectiveness)
5. Focus on Development Relevance (goal and target beneficiaries / clients (effects and impact))

6. Incorporation of the Wider Enabling Environment / Risk Management

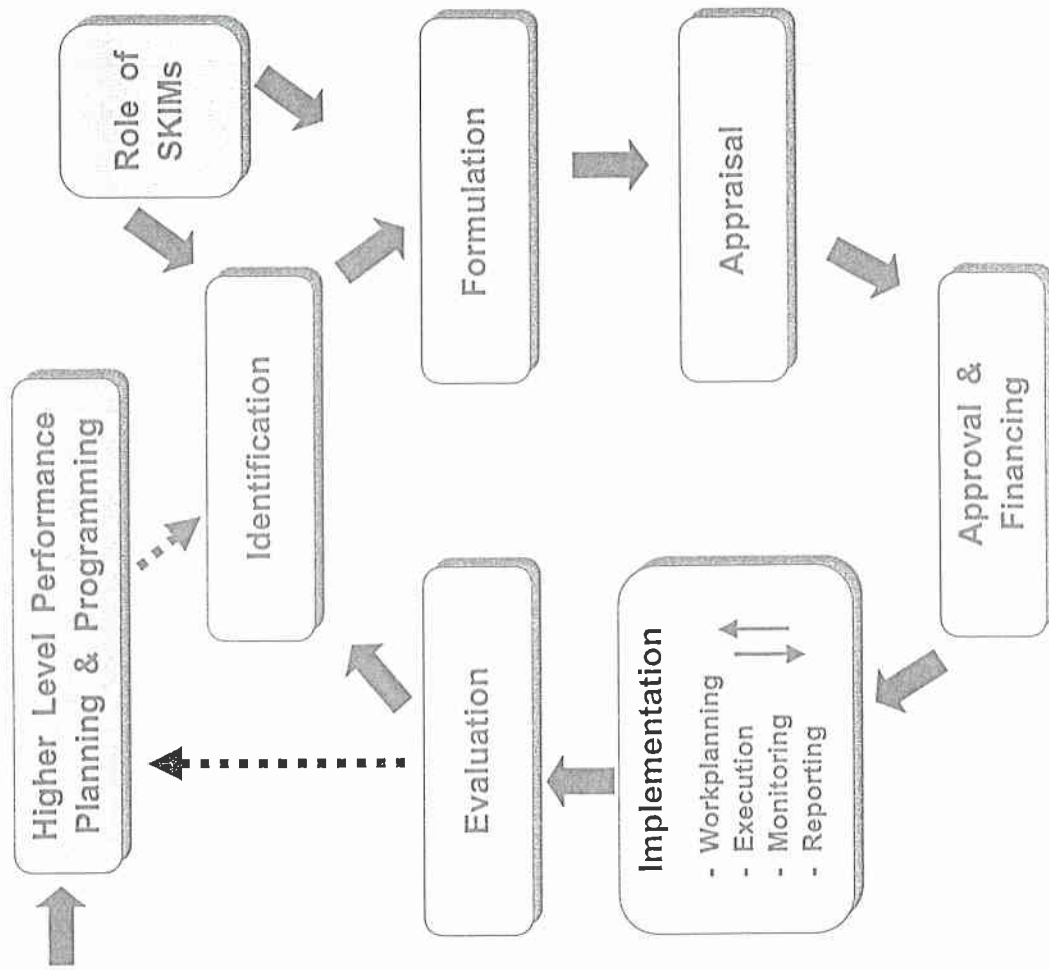
7. Use of Objectively Verifiable Indicators (OVI's) facilitates standardisation, measurements and computerisation

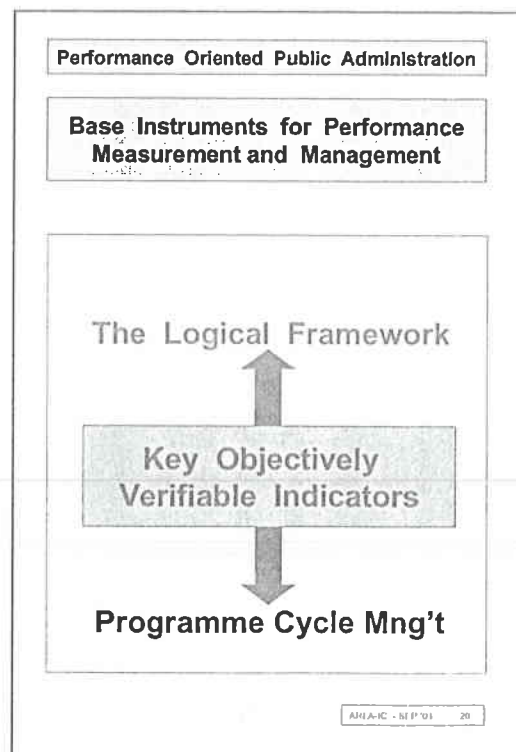
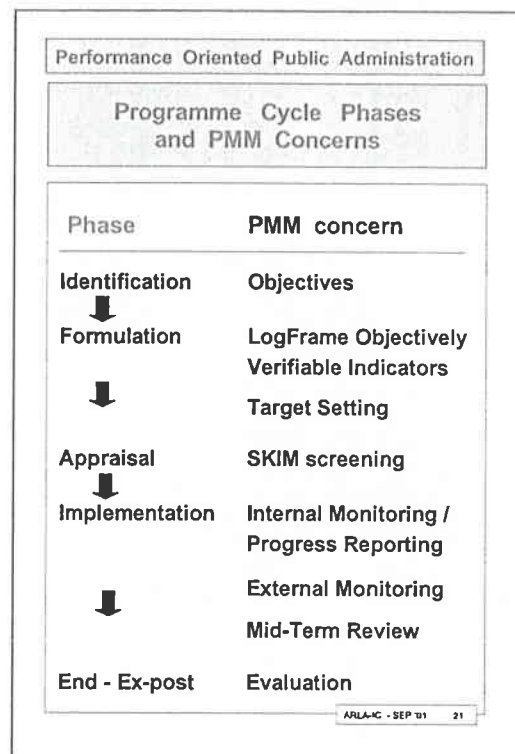
8. Use of OVI's facilitates (sub-)sectoral, geographical and corporate aggregations, analysis and reporting

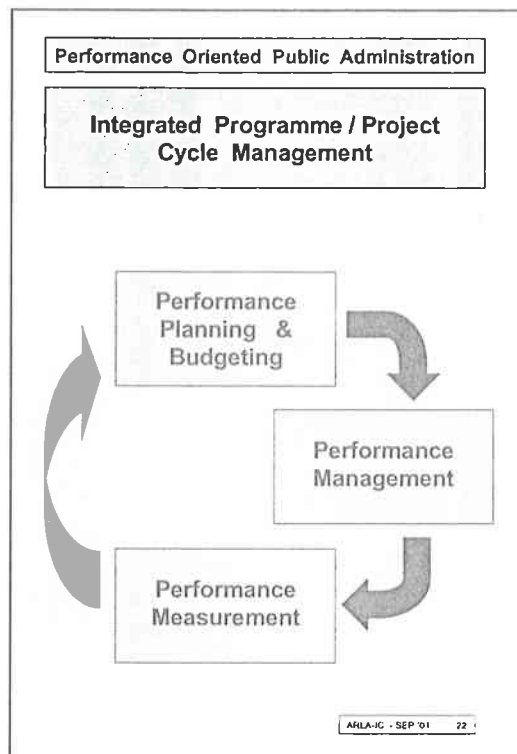
9. Use of OVI's facilitates regular, standardized monitoring in an objective and succinct manner

10. Makes possible both internal and external performance monitoring & evaluation

Performance Planning and Programme Cycle Management (PCM) as 2nd Cornerstone of a Performance Management & Measurement System







Performance Oriented Public Administration

Background Materials : Contents

5.

**The Three “E’s”
of Performance
Management**

ARLA-IG - SEP '01 1

Performance Management : " the 3 E's "

E conomy

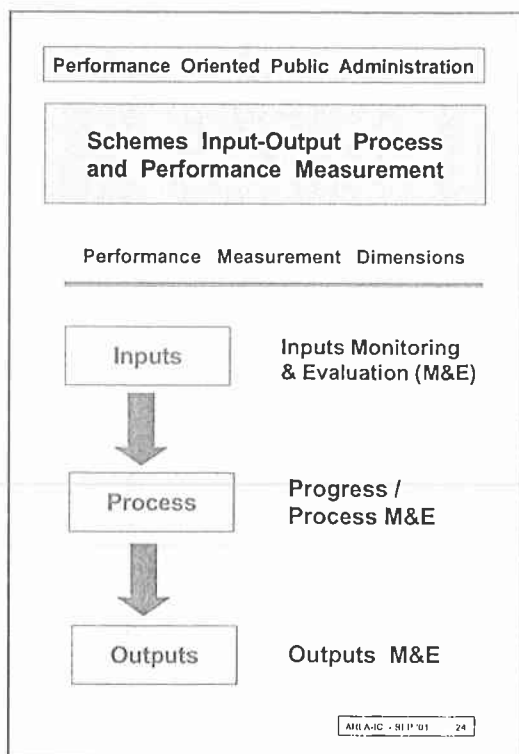
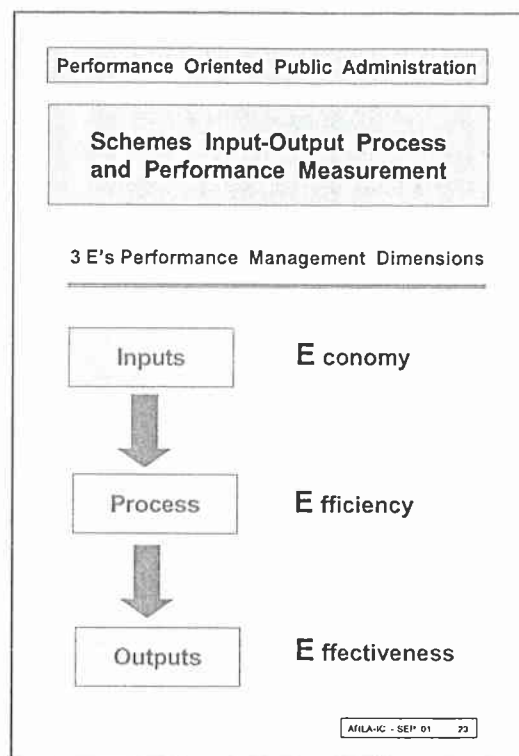
- procurement and delivery of inputs
- human, physical and financial resources
- quantity and quality
- cost element
- timeliness
- operational level

E fficiency

- "the optimal transformation of inputs into outputs" (UNDP)
- utilisation of means to achieve results / objectives
- rational use of resources
- least costs maximum results / return
- activities in perspective of results
- work planning and timelines
- tactical level
- doelmatigheid / efficacité

E ffectiveness

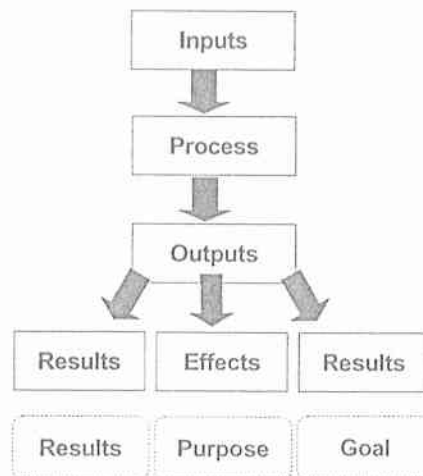
- "the extent to which a programme or project achieves its immediate objectives or produces its desired outcome" (UNDP)
- achievement of results, objectives, goals
- focus on target groups, beneficiaries, clients
- medium and long-term perspective
- strategic level
- doeltreffendheid / effectivité



Performance Oriented Public Administration

Schemes Input-Output Process
and Performance Measurement

Effectiveness Related to LogFrame



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Performance Oriented Public Administration

Background Materials : Contents

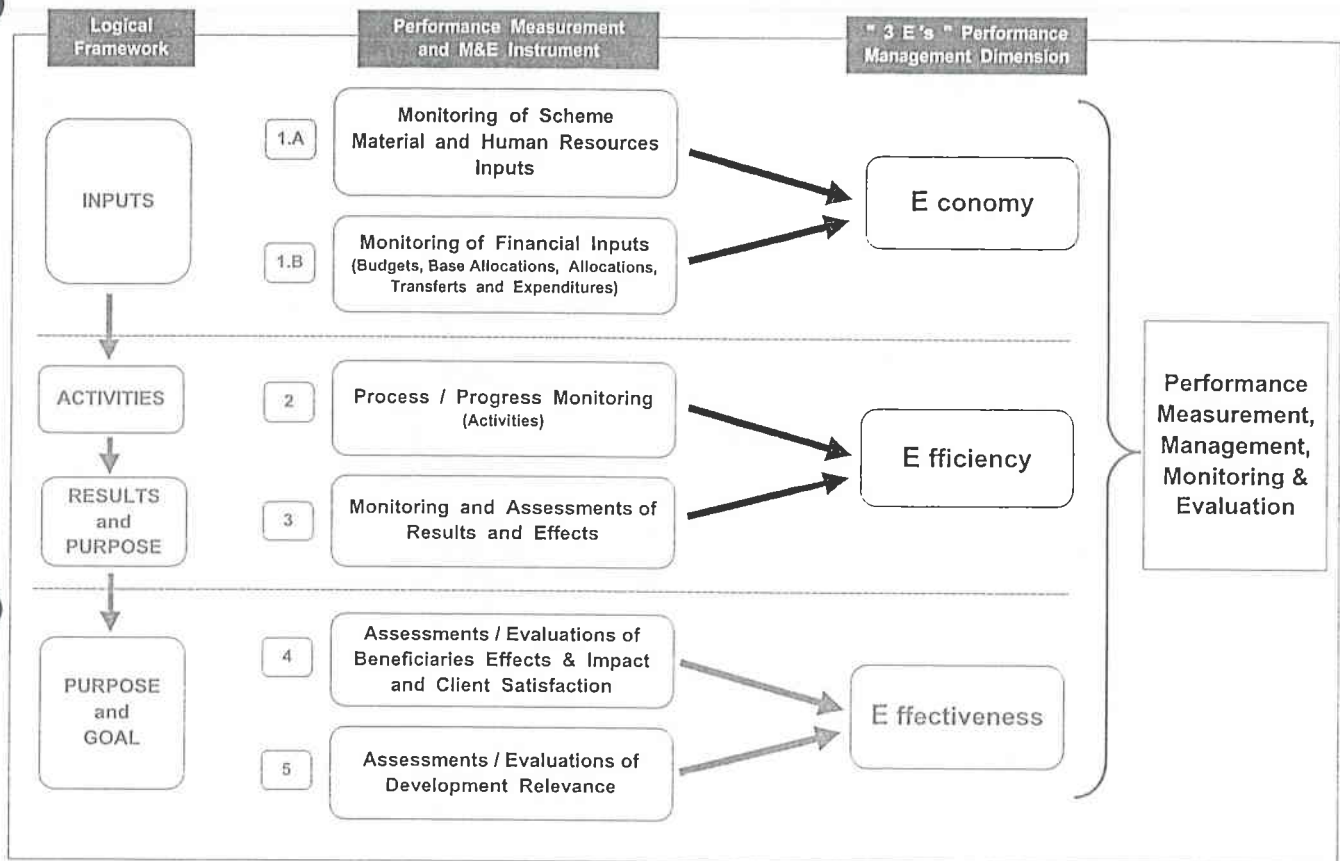
6.

The Integrated
PMM System
Framework

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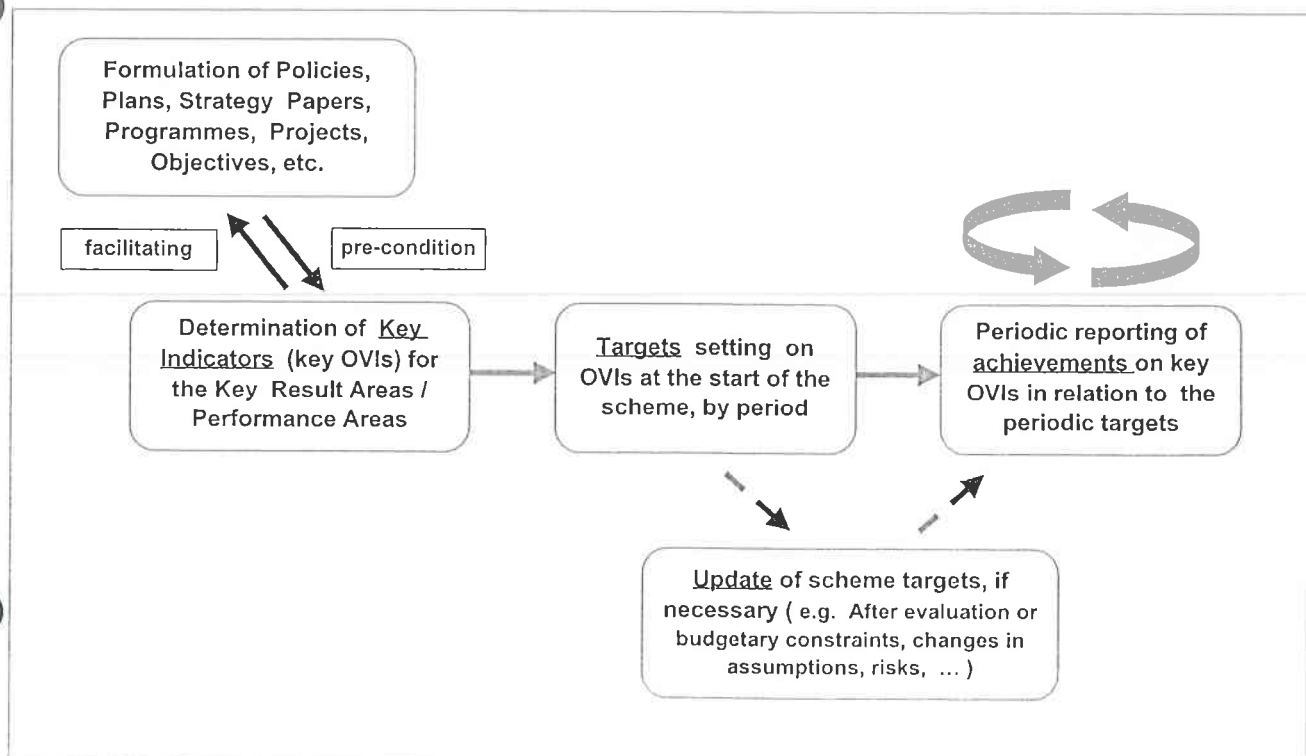
Performance Measurement and Management based on the use of Key Objectively Verifiable Indicators (OVIs)

1 - Vertical Axis: Perspective of LogFrame Vertical Logic and "Three E's" Performance Dimensions -



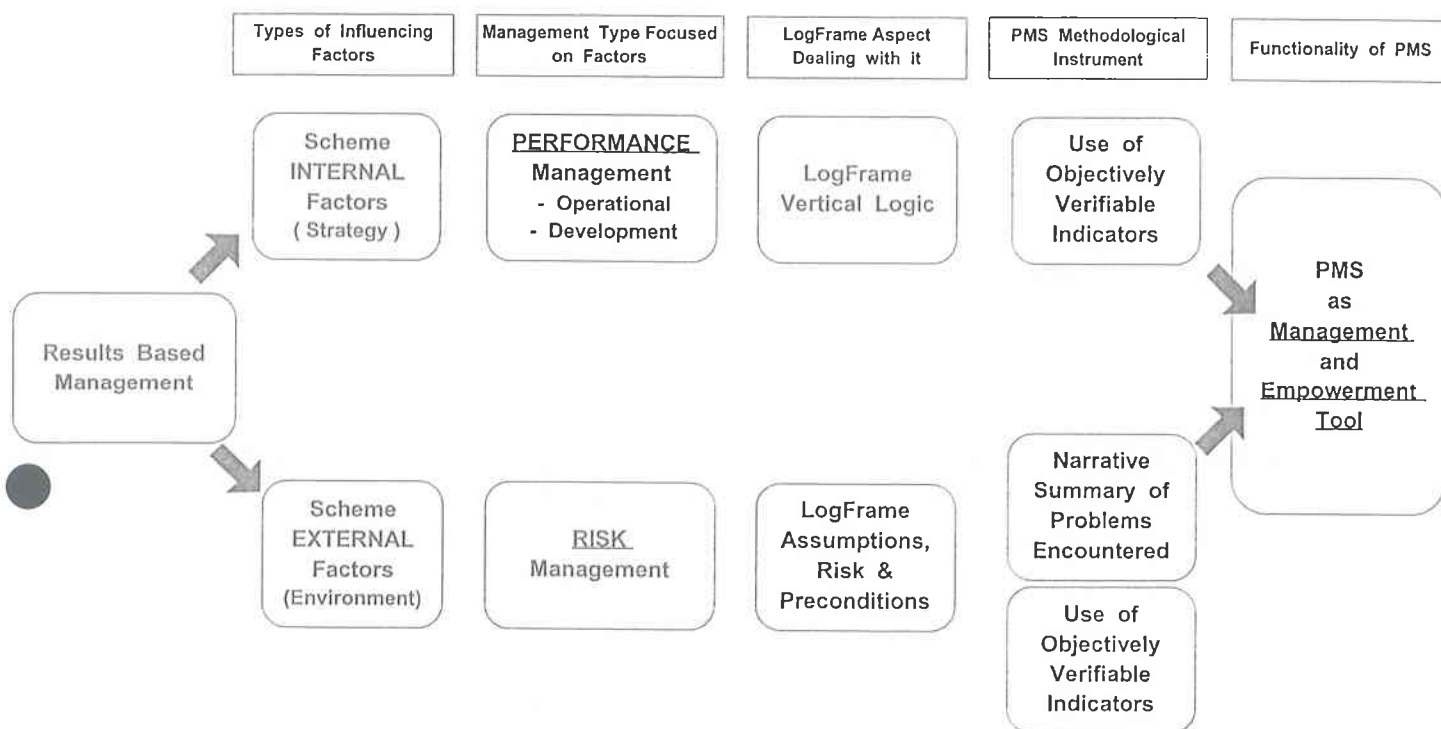
Performance Measurement and Management based on the use of Key Objectively Verifiable Indicators (OVIs)

2 - Horizontal Axis: Perspective of Integrated Project/Programme Cycle Management (PCM) -



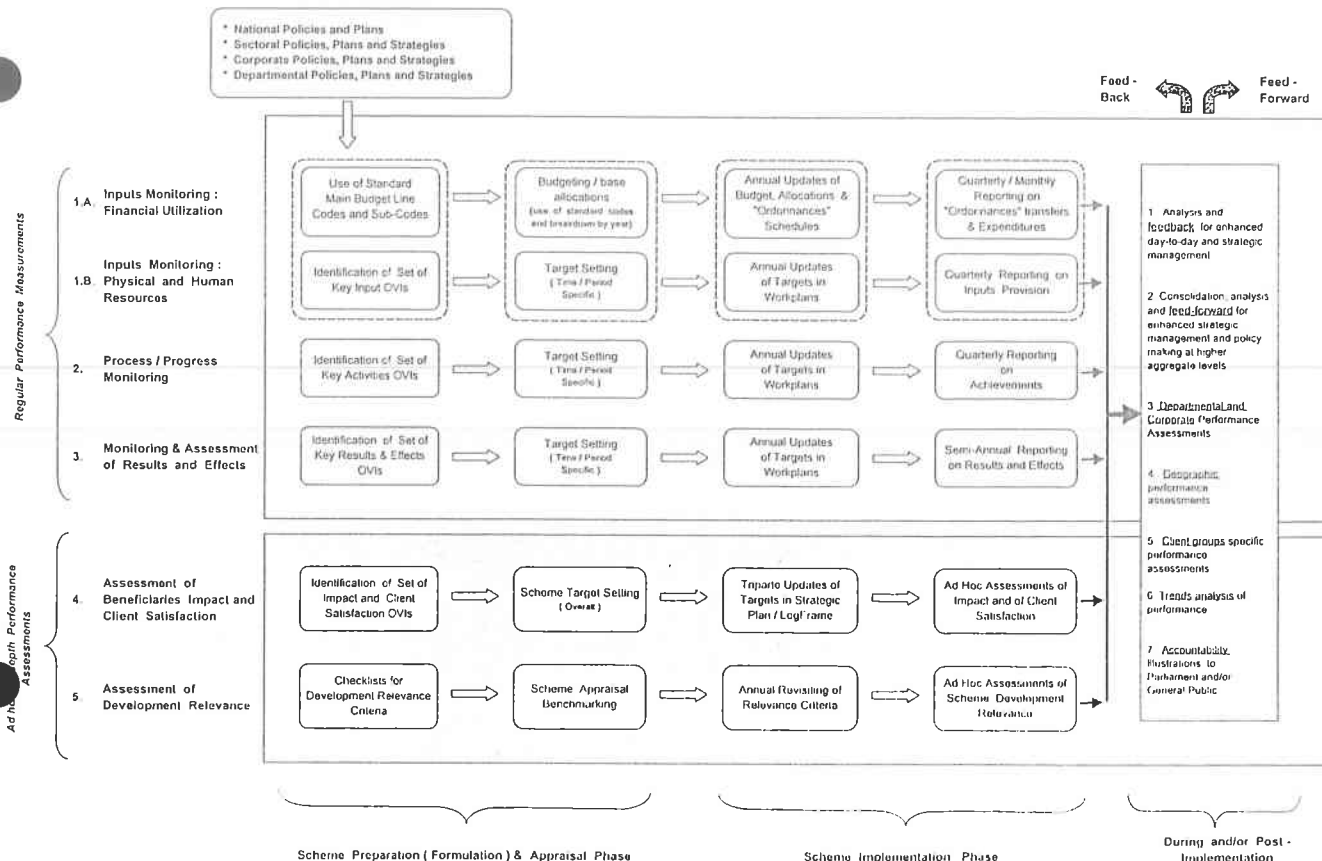
Performance Measurement and Management based on the use of Key Objectively Verifiable Indicators (OVIs)

LogFrame Assumptions & Pre-conditions as basis for Risk Management



Performance Measurement and Management based on the use of Key Objectively Verifiable Indicators (OVIs)

Logical Framework Analysis (LFA) and Integrated Project / Programme Cycle Management (PCM) as Basis



Performance Oriented Public Administration

**The standard monitoring forms:
PMMS-1 and PMMS-3**

Scheme Formulation

- **PMMS-1: Scheme identification
and Key Indicators Matrix
(SKIM)**

During Implementation

- **PMMS-3: Scheme quarterly performance monitoring report
(QPMR)**

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Performance Oriented Public Administration

**The PMMS standard monitoring
forms : contents**

**Scheme Key
Indicators Matrix**

SKIM

as Basis of PME

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The PMMS standard monitoring forms : contents

1. Identification of Scheme
2. Scheme Key Indicators for Physical & Human Resources Inputs
3. Scheme Summary Budget by Main Budget Lines
4. Scheme Key Indicators for Physical Progress (Activities)
5. Scheme Key Indicators for Scheme Results and Effects
6. Scheme Key Indicators for Scheme Impact and Client Satisfaction
7. Key Criteria for Development Relevance (DR) Assessment

Internal and External Monitoring

- Basis of PMMS is INTERNAL monitoring
- Supplemented by EXTERNAL monitoring for following reasons:
 1. Quality control of accuracy and reliability of regular internal monitoring
 2. Ad hoc inspections of "problem" schemes detected by (persistent) PMMS early warning signals
 3. Development relevance (DR) re-assessments
 4. LogFrame and OVIs review

Performance Oriented Public Administration

Frequency of Monitoring Reporting

PRINCIPLE : QUARTERLY

- **Quarterly** : (1) Physical and HRD inputs, (2) financial utilisation, and (3) physical progress (activities)
- **Semi-annual** : Scheme results and effects
- **Ad hoc** : Scheme Impact and Client Satisfaction (planned assessments / studies)
- **Scheme key moments** : development relevance (appraisal, mid-term and final)
- **Ad hoc** : external monitoring

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Conference II on Performance Oriented Public Administration

Monitoring & Evaluation : Common and Distinct Features

Monitoring and Evaluation : COMMON Features

- * **M&E are management tools / instruments for :**
 - * enhanced policy making
 - * enlightened decision making
 - * enhanced planning
 - * enhanced work programming
 - * improved strategic management
 - * improved day - to - day management
- * **M&E are NOT merely policing / control instruments**
- * **M&E are complementary and mutually reinforcing tools**

Monitoring and Evaluation : DISTINCT Features

MONITORING

1.a. Regular

2.a. Standardized

3.a. Key summary info

4.a. Mostly activities related

5.a. Mostly internal

EVALUATION

1.b. Ad hoc

2.b. ToR dependent format

3.b. In - depth analysis

4.b. Broader perspective

5.b. Internal or external

7.

PMM System : Base Principles

- PMMS anchored in overall, sectoral and thematic policies, strategies and higher level programmes (objectives, principles, etc.);
- Complementary and mutually reinforcing relation between PMMS development and overall strategies development
- Not only output oriented, but also output based: output reports to be developed with and by the users / the clients (participatory, client based);

Performance Oriented Public Administration

**Outline of a Public Sector Performance
Management and Measurement System:
Base Principles**

- PMMS in first instance as internal management tool ;
- PMMS as external control instrument for higher level programme management and accountability;
- Facilitation of both internal and external monitoring and providing basis for in-depth assessments, evaluations and audits;
- PMMS as empowerment tool for field level operations and management (source of data, channelling of problems encountered, reporting on assumptions, enabling environment);

Principles: page 2 of 5

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Performance Oriented Public Administration

**Outline of a Public Sector Performance
Management and Measurement System:
Base Principles**

- Routine feedback provision to sources of monitoring information;
- Facilitation of decision-making at operational, tactical and strategic management levels;
- User-friendliness and reduction of workload;
- Computerization of system based on standard forms, with substantive parts already pre-filled based on info entered during the appraisal and previous reporting periods;
- early warning signals (system functions as traffic light);

Principles: page 3 of 5

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Performance Oriented Public Administration

Outline of a Public Sector Performance
Management and Measurement System:
Base Principles

- Management by exception principle: only "problem" cases acted upon;
- System flexibility: possibility of targets revisions, adaptation of SKIM based on changed environment (tripartite, duly authorised);
- Strengthening of managerial and supervisory responsibilities for monitoring reporting (duly authentication of reports);
- Strengthening of civil society stakeholders involvement, partnership development by promotion of co-responsibility for PMMS;

Principles: page 4 of 5

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Performance Oriented Public Administration

Outline of a Public Sector Performance
Management and Measurement System:
Base Principles

- based on three E's of performance management: economy, efficiency and effectiveness;
- Performance budgeting and monitoring of financial utilization as integral part of the system;
- Compliance generation with PMMS reporting requirements (both quantity and quality) is priority concern for effective system operationalisation
- Ensurance of system teeth: link with financial reporting, basis for allocations and transfer of funds;

Principles: page 5 of 5

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Performance Oriented Public Administration

**Clients / Citizens Focused and Based
Performance Mngt & Measurement**

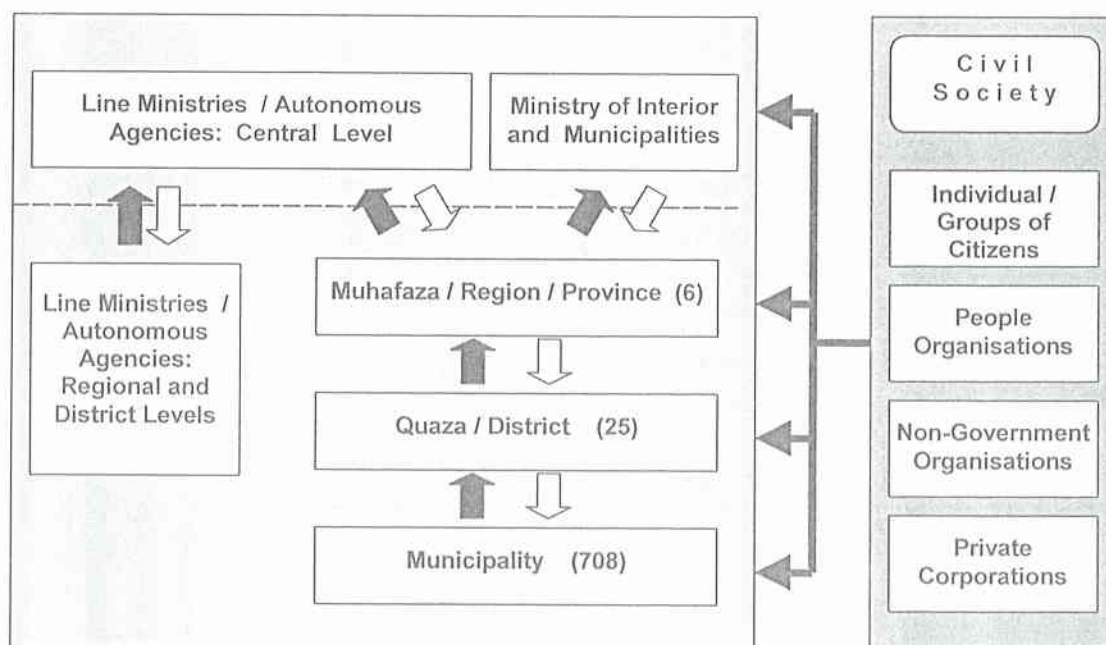
- Client / customer / beneficiaries orientation and focus
- Stakeholders ownership
- Participatory systems design, development and operationalisation
- De-concentration, devolution and/or decentralisation

**Local Government Units (LGUs)
and
Civil Society Stakeholders**

APLAC - SEP 08 26

ARLA Inter-Ministries Conferences, 15-16 Sep 2001 Performance Oriented Public Administration

Participatory Performance Measurement: LGU Based and Stakeholder Participation

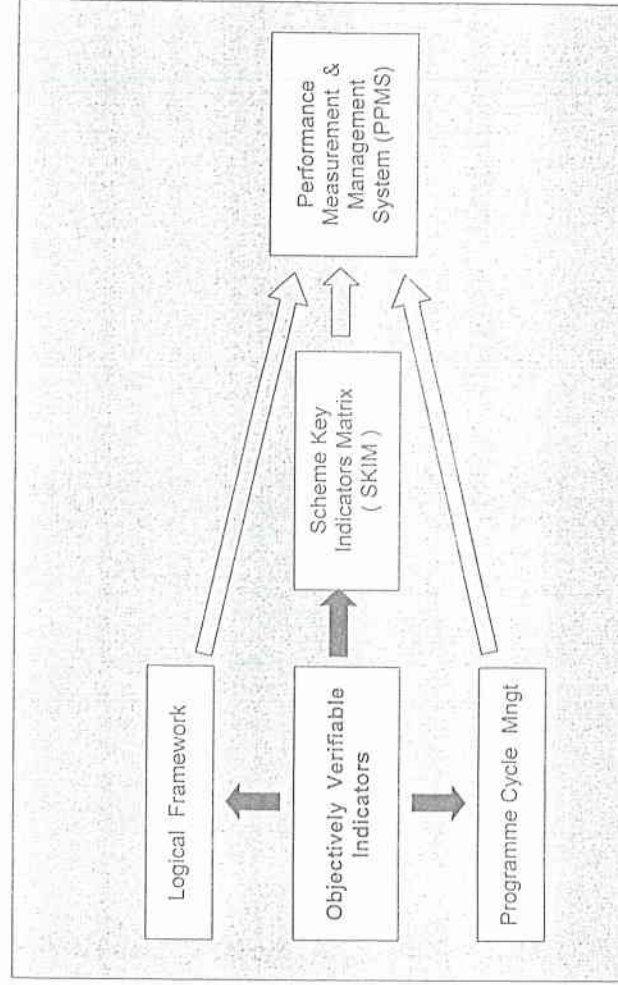


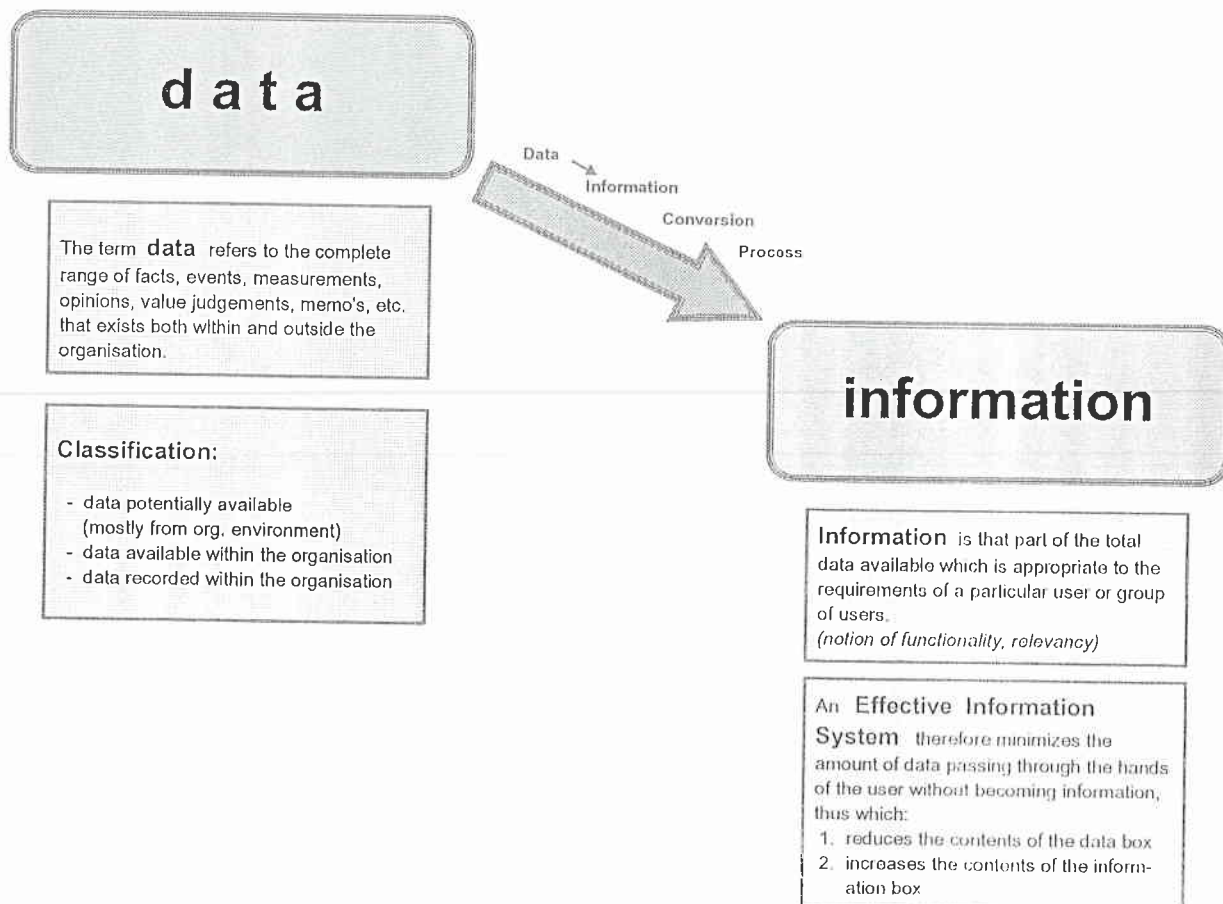
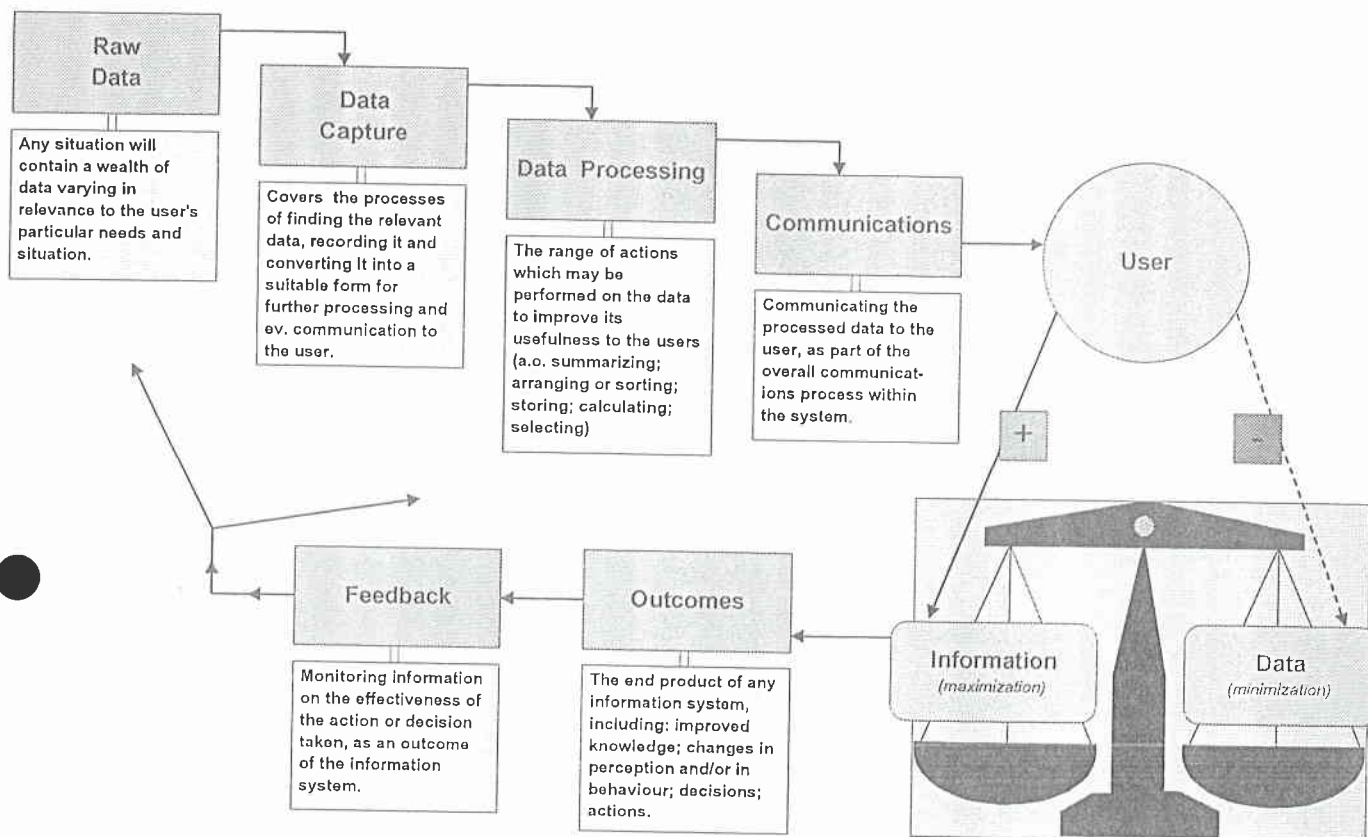
Background Materials : Contents

8.

Central Role of Objectively Verifiable Indicators

The Central Role of OVIs in a Performance Management and Measurement System





OVI's are the backbone of :

1. The Logical Framework

(LogFrame)

2. Programme Cycle Management

(PCM)

3. A comprehensive Performance Management and Measurement System

- * **Operational measures**
- * **Objectively verifiable**
 - preferably measurable
 - at least empirically verifiable
- * **Target Group(s) Oriented**
- * **Other Characteristics**
 - valid
 - reliable
 - precise
 - cost - effective
 - stated independently from other levels

* OVI Operationalisation : QQTTP

- Q Quantity how much?
- Q Quality what ?
- T Time when, how long?
- T Target who ?
- P Place where ?

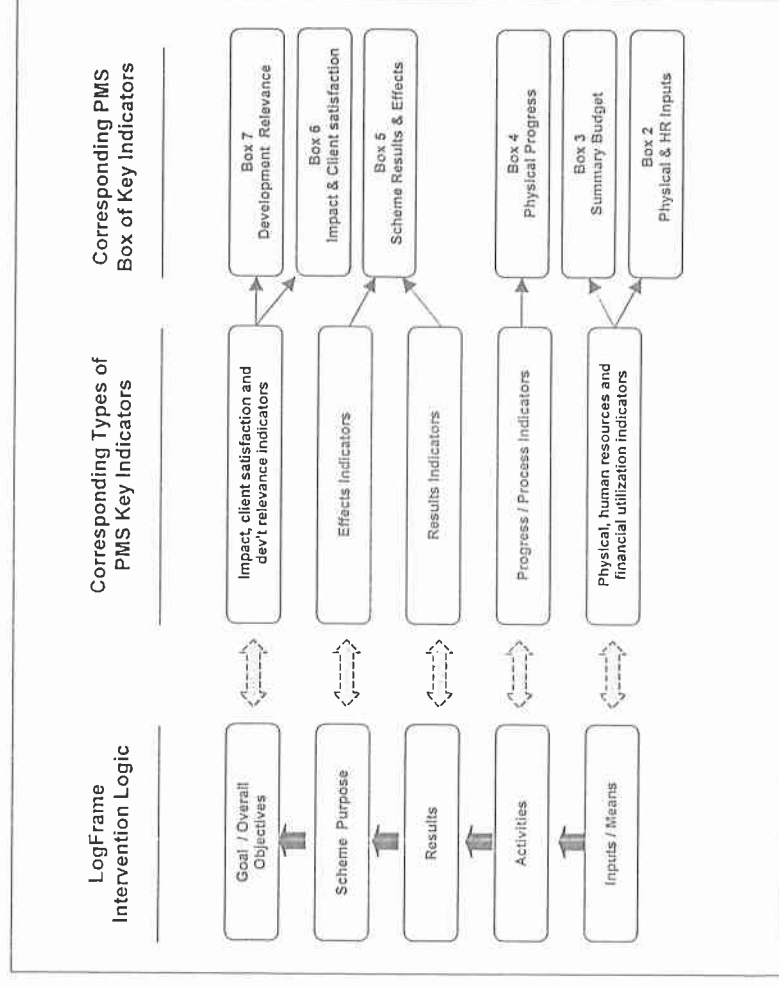
* Statistical Types of Indicators

- quantitative (number, km, tonnes, ...)
- percentages (%)
- qualitative categories (bad, average, good)
- logical (yes / no)
- composite indicators (weight factor)

* Need for Proxy Indicators

Performance Oriented Public Administration

Indicators and Key Performance
Indicators by Type



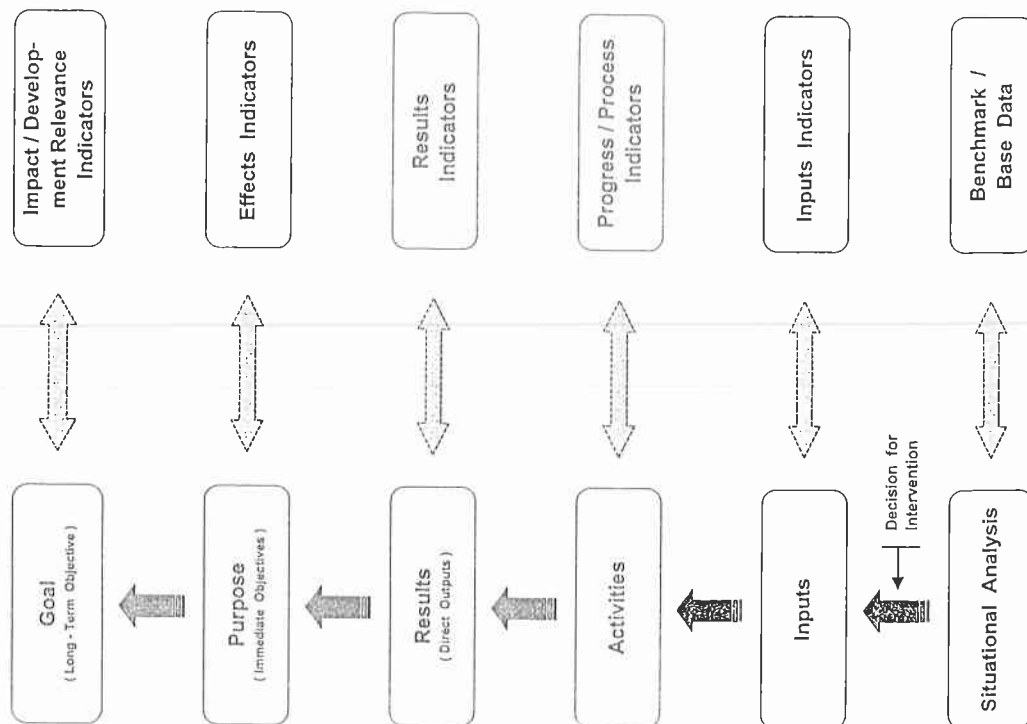
Types of Indicators

in the context of

Objectives Oriented / Results Based Management

Objective Oriented Programme Logic

Corresponding Indicator Types



Government of Lebanon - Office of the Minister of State for Administrative Reform
 ARLA - Inter-Ministries Conferences, 15-16 September 2001 - Performance Oriented Public Administration (OMSAR)

Types of Indicators : Two Illustrations from an Irrigation Improvement Programme

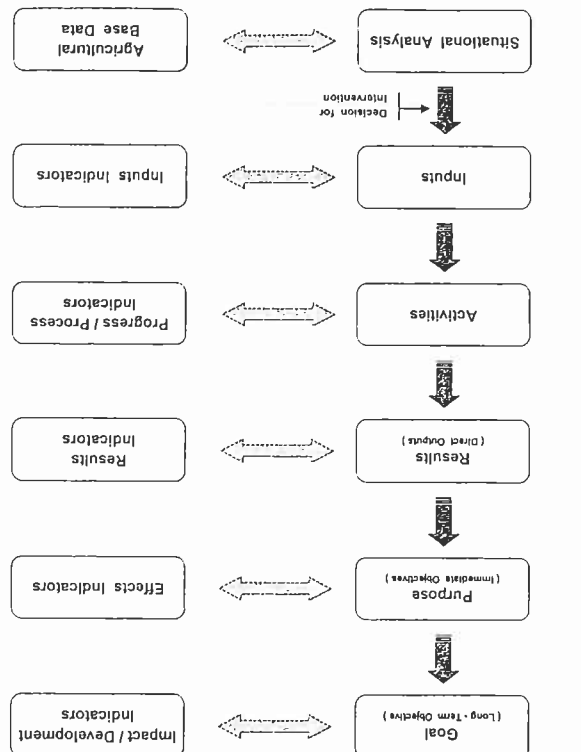
Indicator Sets: Example 2 IPM Extension Programme

Ratio of total number of farmers practicing IPM / number of farmers trained in IPM classes	Number of Key Farmers Effectively Using IPM Techniques in the Period after the Training	Number of Integrated Pest Management	Number of Extension Workers in the ASCs	Statistical Data on Pesticides & Pollution, on Farmers Health
--	---	--------------------------------------	---	---

Indicator Sets: Example 1 Sub-Surface Drainage Programme

Average Percentage Increase of Crop Yields in the Areas with Drainage Systems, by Crop	Average Percent Decrease in Soil Salinity Eq. in dS/m value in the Drained Areas	Hectares of Agricultural Land Installed with Sub-Surface Drainage System (collectors & laterals)	Kilometers of Sub-Surface Drainage Collectors and Laterals Installed	Number of Machine / Hours for Installation of Drainage Pipes	Statistical Data on Crop Yields, Water Table Depth, Water Salinity and Soil Salinity
--	--	--	--	--	--

Corresponding Indicator Types



Background Materials : Contents

9.

**Phased PMM
System Introduction:
Case**

**Phased Introduction Strategy of a
Standardised PMM System
(case of the Belgian Int'l Co-operation)**

- Field testing of the proposed system with Attachés, field staff and local partners
- Decision on pilot introduction of system:
 - (sub-)sector, geographic, thematic, actor;
 - any combination of the above
 - Belgian Survival Fund
- Training and HRD drive on LogFrame, PCM and performance management, M&E
- Design, development and operationalisation of computerized user-specific PMES database system (data entry, processing and reports generation)

**Phased Introduction Strategy of a
Standardised PMM System**
(case of the Belgian Int'l Co-operation)

- Development of standard procedures (guidelines, manuals, ...)
- Streamlining of Information flows (flow diagrams, tasks and responsibilities, time frames, etc.)
- Test round of reporting, data entry, analysis and feedback
- Gradual overall introduction of the system to other actors, sectors, areas.

Participatory approach as
cornerstone of the whole
PMES introduction strategy

**Basic Principles for Introduction of
Computerised Information Systems**

- Least in , most out
- Instrumental / functional
- Rubbish in , rubbish out
- Input side / field orientation
- Phased automation
- Comprehensiveness / integrated
- Flexibility
- Continuity
- User-friendliness
- Reduced workload



10.

Benefits of an Operational PMM System

Benefits of an Operational Performance Management & Measurement System

At scheme level :

- Updated information on the status of scheme implementation at all times;
- Reporting of essential performance information only (reduced workload);
- Systematic comparison of achievements against targets;
- Early warning function / early detection of problems;

Performance Oriented Public Administration

Benefits of an Operational
Performance Management &
Measurement System

At scheme level (cont'd) :

- Makes trend analysis possible;
- Makes fast decision-making possible based on objective, summary information;
- Focuses the scheme on the achievement of results and objectives (results based management) instead of on mere activities only
- Is a *conditio sine qua non* for evaluations, audits and other in-depth assessments

Benefits of a Standardized PMMS - P 2

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Performance Oriented Public Administration

Benefits of an Operational
Performance Management &
Measurement System

At higher aggregate levels:

- Makes aggregations at higher levels possible:
 - (sub-)sectoral
 - geographic
 - thematic
 - actor-specific
- Makes computerized external monitoring possible;
- Makes automated reporting possible;
- Facilitates increased transparency and accountability;

Benefits of a Standardized PMMS - P 3

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**Benefits of an Operational
Performance Management &
Measurement System**

At higher aggregate levels (cont'd) :

- Ensures Improved Information dissemination (feedback and feed-forward);
- Provides a regularly updated objective basis for decision-making;
- Facilitates easy reporting to executive entities, both internal and external to the organisation;
- Is an empowerment Instrument for the local, field levels and for the partner stakeholders, as well as clients / citizens ;

**Benefits of an Operational
Performance Management &
Measurement System**

At higher aggregate levels (cont'd) :

- At the same time, it facilitates objective external control in a cost-effective and cost-efficient way;
- Contributes to improved communication between the different hierarchical levels of the organisation;
- Contributes to improved communication between the different institutional actors and the central administration;
- Facilitates accountability to the general public (tax payers) and their elected representatives;

Performance Oriented Public Administration

Thank You

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Performance Oriented Government¹

Public Sector Reform as Overall Framework

Over the past ten to fifteen years, there has been increasing pressure on governments around the world to demonstrate the economic, efficient and effective use of public resources. Public concern for national debt reduction, good governance, a declining confidence in political leadership, growing demands for better and more responsive services, better accountability for achieving results with taxpayers' money and the globalization of the economy are amongst the driving factors towards public sector reforms that have become prevalent in many countries. "Reinventing government", "Doing more with less" or "Demonstrating value for money", and the like have become popular catch phrases describing the drive for these public sector reforms.

In a 1999 OECD comparative study² on the reforms in governmental agencies towards Results-Based Management, it was concluded that while there have been variations in the reform packages implemented in the OECD countries, there are also *common aspects* found in most countries, including:

- Focus on performance issues (e.g. efficiency, effectiveness, quality of services);
- Devolution of management authority and responsibility;
- Orientation to customer needs and preferences;
- Participation by stakeholders;
- Reform of budget processes and financial management systems;
- Application of modern management practices

Reportedly, the most central feature of the reforms has been the emphasis on improving performance and ensuring that government activities achieve desired results. A study of the experiences of ten OECD member countries with introducing performance management showed that it was a key feature in the reform efforts of all ten.³

Performance Management and Accountability

In accordance with the findings of this OECD report⁴, the introduction of performance management in the public sector appears to have been driven by two key aims or intended uses: management improvement on the one hand and performance accountability on the other.

In the first, the focus is on making programme and service improvements via continual feedback of performance information and lessons learned into management decisions. A special type of management improvement is savings, or achieving value for money by selecting lowest cost alternatives for producing results (cost-effectiveness considerations). In the second, emphasis shifts to holding managers accountable for achievement

of specific planned results or targets, and to transparent reporting of those results. In practice, organisations tend to favour or prioritise one or the other of these objectives. To some extent, these aims may be conflicting and entail somewhat different management approaches and systems.

When performance information is used for reporting to external stakeholder audiences, this is sometimes referred to as *accountability-for-results*. Government-wide legislation or executive orders often mandate such reporting. Moreover, such reporting can be useful in the competition for funds by convincing a sceptical public or legislature that an agency's programmes produce significant results and provide "value for money". Annual performance reports may be directed to many stakeholders: for example, to ministers, parliament, auditors or other oversight agencies, customers and the general public.

When performance information is used in internal management processes with the aim of improving performance and achieving better results, this is often referred to as *managing-for-results*. Such actual use of performance information has often been a weakness of performance management in the OECD countries.

Too often, government agencies have emphasised performance measurement for external reporting only, with little attention given to putting the performance information to use in internal management decision-making processes.

For performance information to be effectively used for management decision-making requires that it becomes *integrated* into key management systems and processes of the organisation, such as: policy formulation, strategic planning, programme or project management, financial and budget management, and last but not least human resources management.

Of particular interest is the intended use of performance information in the budget process for *improving budgetary decisions and allocation of resources* (performance budgeting). The ultimate objective is ensuring that resources are allocated to those programmes that achieve the best results at least cost, and away from poor performing activities. Initially, a more modest aim may be simply to estimate the costs of achieving planned results, rather than the cost of inputs or activities, which has been the traditional approach to budgeting.

Performance Management and Measurement

Performance management and measurement are at the two sides of the same coin: one cannot do without the other. There is no use in measuring performance if the generated information is not used for decision-making to improve performance (performance man-

agement). On the other hand performance management is simply not possible without adequate performance measurement information. Moreover, measurement "pushes" performance. In the bestseller publication of the nineties "Reinventing Government"⁵ this principle got world wide known as:

"What Gets Measured Gets Done"

The logical rationale for performance measurement was further elaborated by Osborne and Gaebler⁶ by a series of sayings as:

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

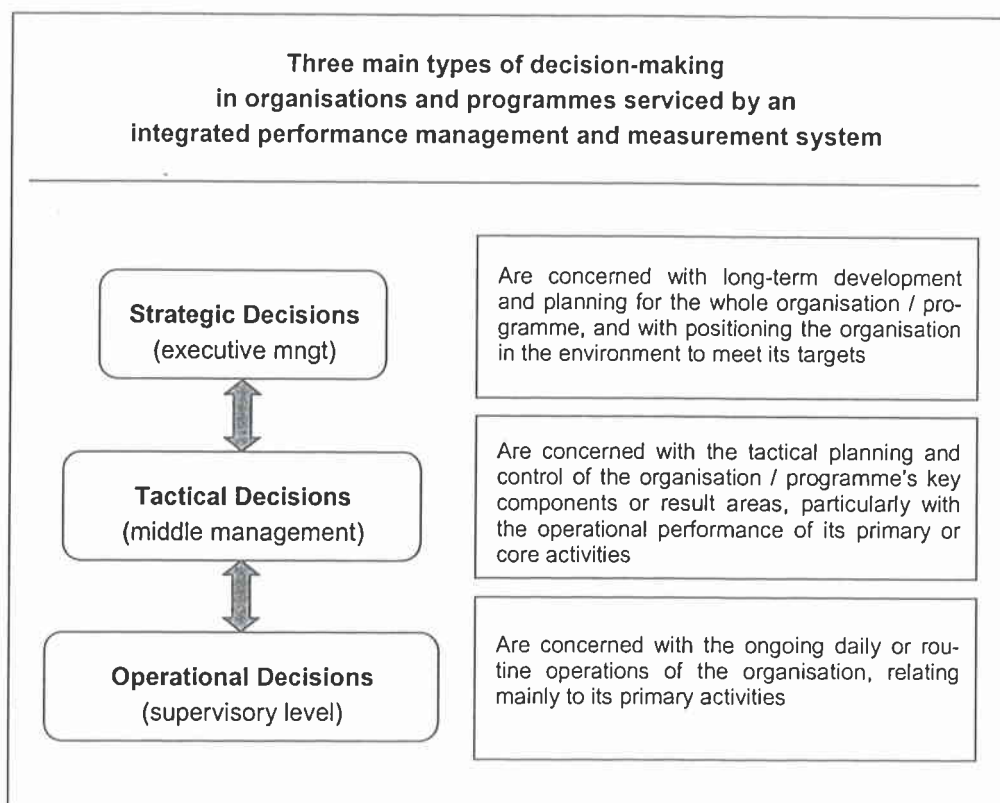
Performance Management, also referred to as Results Based Management (RBM), can be defined as a broad management strategy aimed at achieving important changes in the way public or private sector agencies operate, with improving performance (achieving better results) as the central orientation.

Performance measurement is concerned more narrowly with the production or supply of performance information, and is focused on technical aspects of clarifying objectives, developing indicators, collecting data on results (including effects and impact) and processing these into information useful for decision making and other managerial purposes. It therefore is equally concerned with generating management demand for performance information, thus with its uses in programme, policy and budget decision-making processes and with establishing organisational procedures, mechanisms and incentives that actively encourage its use. In an effective performance management system, achieving results and continuous improvement based on performance information is central to the management process.

Performance measurement concerns the *process* an organisation follows to objectively measure how well it is meeting its stated objectives. It typically involves several phases: e.g. articulating and agreeing on objectives, selecting indicators and setting targets, monitoring performance (collecting data on achievements) and analyzing those achievements vis-à-vis the preset targets (which eventually are periodically updated upon due authorization).

Within a *performance management / results based management* context, *performance measurement* is customized to respond to the performance information needs of programme / project managers and stakeholders. Since the stakeholders are involved in one

aspect or another of measuring performance, the information that is generated is more accessible and transparent to the users. Performance measurement is also more results-oriented, because the focus is on measuring progress made towards the achievement of results. Consequently, the performance information generated from performance measurement enhances learning and improves management decision-making at the operational, intervention level, the tactical intermediate level and the long-term strategic level. Hence, performance information (basically through a process of information aggregation), serves the information needs of the different decision making levels in an organisation.



At the heart of the performance management / results based management approach is performance measurement. When performance measurement is undertaken on a continuous basis during implementation, it *empowers managers and stakeholders* with "real time" information about the use of resources, the extent of clients / beneficiaries reach and the achievement of developmental results.

The Enabling Environment for Systemic Performance Management & Measurement

Information systems do not operate in a vacuum. On the contrary, they operate only as well as their broader environment enables (allows) them to do so. This a fortiori holds for performance measurement systems, which are dealing with very central and crucial, and

often sensitive matters. As experiences in many parts of the world have shown, all too often splendid automated information systems have been programmed, only to find out later on that they have never become effectively operational simply because the necessary enabling environment was lacking or not well enough established.

Systematically addressing the issues of the enabling environment of an information system makes the difference between *information management* (IM) and *information technology* (IT). Obviously, the former has a much broader perspective than purely technology aspects. As illustrated by the more recent information systems theories and empirically proven, strategic information management is a strong, effective (if not an indispensable) tool for organisational integration and organisational performance management.

In many cases, the rationale for management underlying a decision to introduce performance information systems in their organisation or programme is more related to organisational and institutional strengthening considerations for enhanced performance management than to strictly information needs only.

Eight (8) key elements of the necessary enabling environment for an effectively functional performance measurement information system are described hereunder. This set of key elements has been developed based on practical experiences with performance measurement and monitoring & evaluation information systems development. One of the main benefits of this analytical tool is that it likewise can be used for the actual design and development strategy of a performance management and measurement system, for example for the Lebanese Public Sector. Therefore, references are made to the Lebanese situation to make the analysis more recognizable.

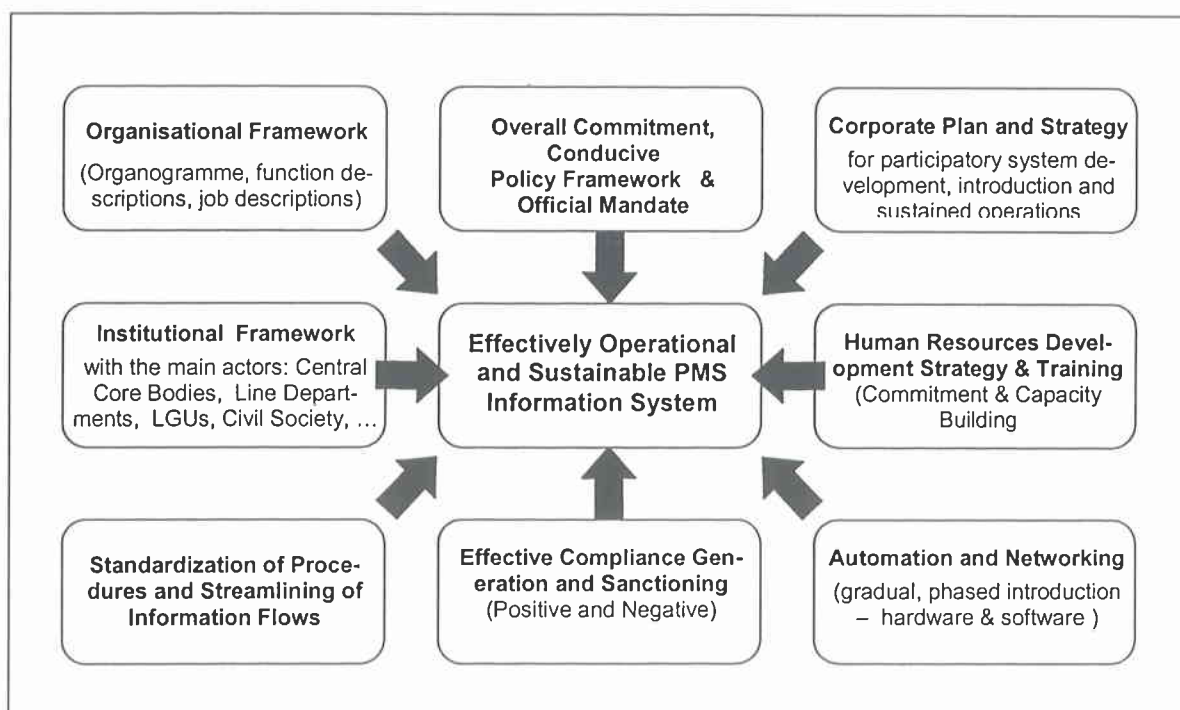
The Key Elements of the PMS Enabling Environment

1. ***Overall commitment, conducive policy framework and official mandate for performance management, monitoring and evaluation.***

This pertains to all actors involved, both Government and non-government / civil society, at all levels: both national, regional and LGU (Muhafaza, Quaza and Municipality). The official mandate has to come from the highest authorities to bestow the system with the necessary authority, ensuring compliance with the systems' procedures, rules and regulations at all levels. The Legislative Decrees 111 and 115 prove a most important instrument in this respect. On the other hand, the system should be owned by all stakeholders and parties involved to ensure its viability and sustainability. The necessary broad-based support for the system should be enlisted at all levels, and particularly from the grassroots reporting levels, in the common wisdom that in case there are no informa-

tion inputs there obviously also will not be any outputs generated by the system. An important success factor in enlisting this broad based support for performance measurement lies in effectively realizing a *positive performance management, monitoring and evaluation culture* in the different programmes: performance measurement should be appreciated and used as positive management tool rather than looked at as external burden and policing instrument. This "cultural " switch probably is one of the most daring challenges in effectively operationalising a results based management information system as in the case of the envisioned Performance Measurement System (PMS) for the Lebanese public sector.

The Necessary Enabling Environment of a Performance Measurement Information System



2. *Corporate plan and strategy for system introduction and sustained operations.*

The development and operationalisation of a multi-sectoral, impact focused and multi-actor information system as PMS need careful strategic and operational planning and cannot be dependent on one-shot, incremental "au jour le jour" decision-making. A process approach with a positive learning culture is essential. Also PMS introduction needs to be a

concerted effort involving all parties concerned, both GO and non-government, and particularly the beneficiaries / client stakeholders as providers of the base PM information. The occasional attempts to introduce performance measurement related tools remained relative failures, despite their intrinsic qualities and merits, basically because they were undertaken on a relatively isolated basis without due recognition of the here described components of an information system enabling environment, and as such have not succeeded yet in becoming the standard for the whole organisation / programme. Especially the absence of a human resources development and training strategy necessarily accompanying the introduction of an information system in most cases proves the major obstacle to an effective operationalisation of the envisioned system.

3. Organisational framework

Information management and organisational strengthening are as the two sides of the same coin. They are interdependent and mutually reinforcing. The functions of the different parties and organisational units involved in performance measurement data recording, reporting, processing, analysis and/or feedback process should be clearly defined, so that every party fully understands its roles and responsibilities. The individual job descriptions will need to have explicit references to PM tasks and responsibilities, so that everybody, regardless his/her level, knows what is expected from him/her. Organisational charts / organogrammes need to be designed logically and consistently. Both horizontal co-ordination (between entities at the same hierarchical level) and vertical co-ordination (between different vertical layers within headquarters (DG, Directorate, Service, Bureau, Section) but also externally with regional offices and LGU based extension offices) need to be particularly focused on to ensure smooth flows of information on a sustainable basis.

4. Institutional framework

Whereas organisational charts are concerned with the internal ordering of organisations, institutiogrammes (institutional charts) map the interrelations between organisations / institutions. Against the background of the recent deconcentration efforts of the Lebanese Government, with a consequent decentralisation and devolution of planning, programming and execution responsibilities to the local level (LGUs and stakeholders), this rational (effective and efficient) organisation of institutional relationships is a *conditio sine qua non* for *decentralised and participatory* performance management and measurement. But also at each *horizontal level*, relationships between the multiple stakeholders organisations require an objective basis for performance measurement. Eventually, if and when necessary, clear protocols, agreements, memoranda of understanding, etc.

will need to regulate operations, communications, rights and responsibilities of the different parties concerned. For a performance measurement system, based on regular performance reporting, such formalized relationships are crucial in order to guarantee effective system operationalisation. Regular meetings and other communication means are integral part of the framework. Clear functional descriptions of relationships, authorities and responsibilities amongst the different partner agencies involved in comprehensive performance measurement will need to be worked out / revitalized / strengthened / highlighted in order to clarify the specific roles and responsibilities of each, in order to guarantee their complementarity and as such to ensure effective and smooth systems operations. This institutional framework will need to include: the Central Inspection, the Court of Audit, the Civil Service Council, the Ministry of Finance, the Department of the Interior and Municipalities, the respective Line Departments (DOL, DOPH, DOSW, DOE, etc.), the (Semi-) Autonomous Agencies over which the latter have tutelage responsibilities, and the respective Local Government Units (LGUs: Muhafazas, Quazas and Municipalities) which are the service delivery units closest to the clientele of citizens and other civil society stakeholders.

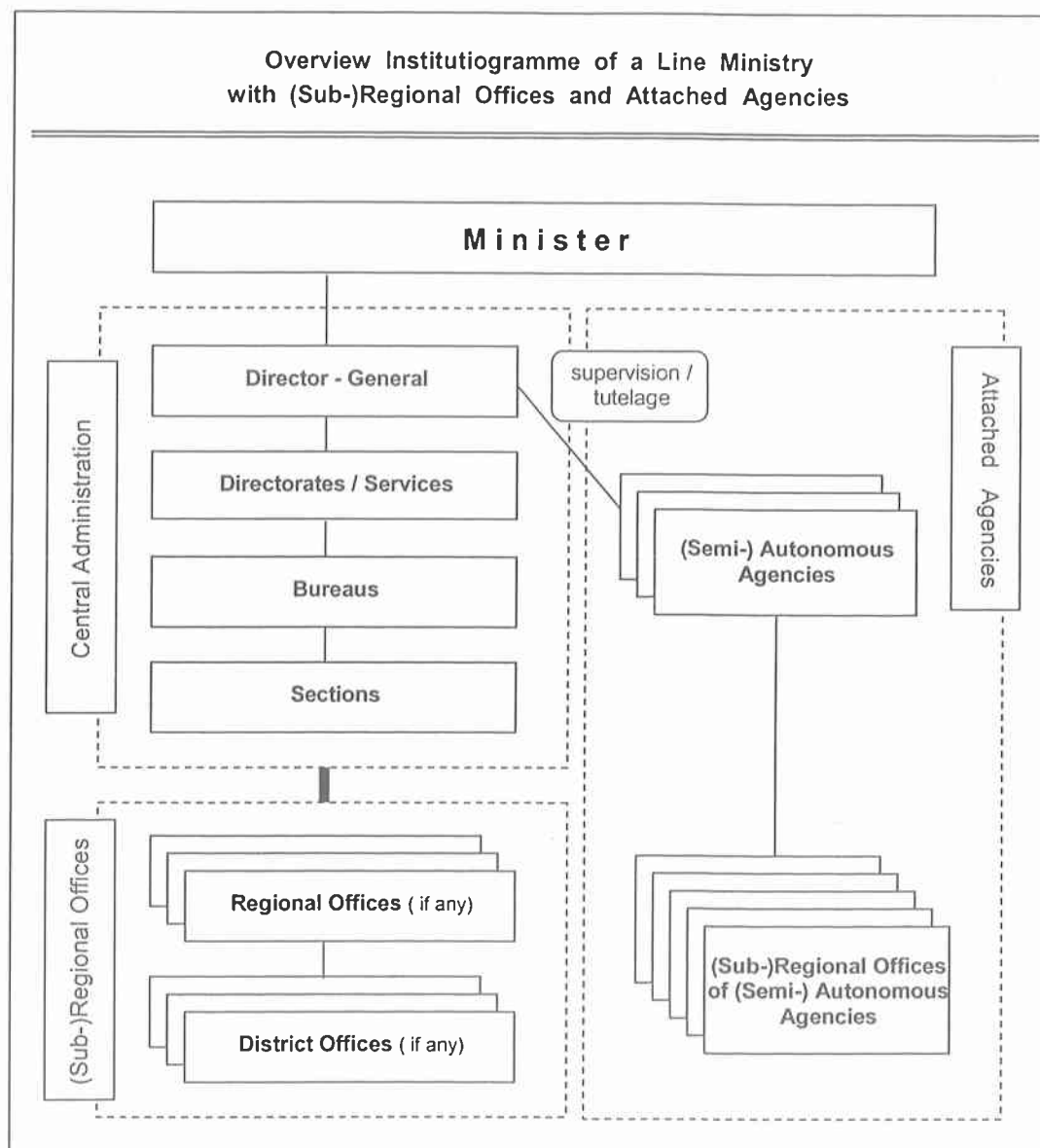
5. Standardization of procedures and streamlining of information flows

Obviously, with so many different individual public sector programmes (both special and regular) within different (sub-) sectors, standardization of procedures and streamlining of information flows is an absolute necessity. Hence the importance of designing user-friendly *performance measurement data recording and reporting forms*, concentrating on the most essential information in a succinct manner (the use of objectively verifiable indicators is essential, particularly also in view of limited available time of reporting officers and especially at the LGU level also limited drafting / reporting capabilities). The selection and ultimate formulation of *key objectively verifiable indicators* therefore need to be given special attention, as well as the design of standardized data recording and reporting forms.

One of the basic principles of PMS design and development will need to be to make maximum use of existing methodologies and procedures. One of the major challenges no doubt will prove to be the combination of the different methodologies promoted / in use on a piecemeal and/or scattered basis by different organisational units, programmes and projects.

Standardisation of procedures and streamlining of information flows are absolute necessities in view of the multitude of different actors involved and because of the complexity of the (institutional) relationships between

these (e.g. as illustrated by the below generic institutiogramme of a line ministry). There is a need for a systemic approach, with a gradual, pilot-ing based introduction strategy. Incrementalist, piecemeal introductions and ad hoc interventions will not do.



6. Human resources development and training

Systems can only effectively function to the extent that the people who administer and use them are (made) capable of handling them. During PMS situational analyses and needs assessments, this HRD need is uni-

formly brought forward as one of the most crucial - if not the most crucial - dimension of the enabling environment of a standardized PMS. But not only a *comprehensive training programme* needs to be foreseen to guide PMS introduction and operationalisation, performance management, measurement, monitoring and evaluation would preferably also become integral part of personnel appraisal systems, with special focus on positive sanctioning of the individuals concerned showing outstanding PM promotional and application performance. Especially in the early inception, pilot phase of PMS introduction and operationalisation, this HRD dimension needs special attention. PM capacity strengthening and help desk functions may need to be anchored in the PM programme co-ordination office to guide and co-ordinate the introduction and operationalisation process of the system. The HRD and training programme will need to give equal importance to technical capacity building on performance planning, management, monitoring and evaluation on the one hand and to overall and individual commitment to results based management and to PMS operationalisation on the other (*capacity building and commitment generation as twin focus* of a PMS HRD programme).

7. Effective compliance generation and sanctioning

Let us face it: nobody enthusiastically reports. Without an effective compliance generation strategy pertaining to all parties and levels involved, any information system, and particularly a participatory performance measurement system, is doomed to fail. An information system is only as strong as its weakest link. The success of the system therefore is the collective effort of all those involved. A sanctioning and compliance generation strategy in first instance focuses on *positive* sanctioning mechanisms: rewarding compliance in annual appraisal reports and concomitant career perspectives; broadening of responsibilities at appropriate level; training and exposure opportunities; documentation and distribution of best practice cases as learning tool, are just a few of the positive sanctioning instruments. More important mechanisms however have proven to be: (1) *training* on system use (a large proportion of non-compliance is basically the result of either non-familiarity with the system or shortcomings in technical or analytical skills of personnel) and (2) *systematic provision of feedback information* to the reporting parties (field experiences show that most frustrations of reporting staff are the direct result of a virtually complete absence of systematic feedback - field staff often feel their reports disappear in a black box without action taken, hence often resulting in ritualistic reporting behaviour from their end). On the other hand, and only in second instance, and particularly in cases of repeated or persistent inadequacies, *negative sanctions* may have to be applied: negative implications for career perspectives and remuneration scaling; temporary suspension of fund transfers to the scheme; and in a worst

case scenario, termination of the scheme. The financial sanctioning, as a last resort, should be kept integral part of the sanctioning package. Lessons learned from other programmes and organisations show that the financial sanctioning dimension necessarily should be kept integral part of the system to ensure its necessary compliance assurance teeth. Performance planning, budgeting and measurement necessarily need to be closely linked to each other.

8. Automation and networking

It goes without saying that when dealing with many programmes and projects on which will be reported on a regular basis, *automation* is an absolute must. In view of the different actors and parties involved, also *networking* is a basic utility. Substantial amounts of time are lost to hand-written and type-written desk reporting, seriously limiting staff at all levels in their time available for their core business. This particularly pertains to the core units within the respective Administrations which will be responsible for performance measurement. Also, in due course, a special user-specific and user-friendly PMS database software programme will need to be designed and developed. PMS data transfer might have to be established by means of exchange of floppy disks in a first phase, awaiting full operationalisation of Local Area Networks (LANs) within the Administrations and Wide Area Networks (WANs) amongst them. From the municipal and District (Quaza) level up, this data exchange may need to be pursued best by written reporting / printed feedback in the initial stages of system introduction. In conclusion, while a crucial dimension of the enabling environment of the performance measurement information system envisioned, computerization is only one of the eight dimensions of the system's enabling environment: the crucial difference between information technology and information management empowerment.

The functionality of a *Performance Measurement System* is geared towards a facilitation of both enhanced performance management and enhanced accountability. The system therefore has equally important internal and external performance measurement and assessment functions. These dual system functions pertain to all programme levels:

- (1) and - the micro level of the individual programmes and projects;
- (2) and - the meso levels of programme aggregations on a sectoral, geographical, actor or thematic basis,
- (3) and - the overall macro level of the entire public administration

The Positive Connotation of Performance Measurement

What distinguishes performance measurement from previous techniques is a more *holistic view of public sector management*. Systems take account of the wider political and strategic environment; the management of policy and executive functions; the accountability of personnel; the technical problems of defining indicators of performance; and the need for transparent dealings with stakeholders and clients / beneficiaries.

As performance measurement systems *mature*, greater attention is placed on measuring what is important rather than what is easily measured. Organisations that emphasize accountability tend to emphasize performance targets, but too much emphasis on "hard" performance targets can potentially have dysfunctional consequences, because being felt by defensive managers as too threatening. Those that focus on management improvement may place less emphasis on setting and achieving targets but require effectively functional systems to demonstrate steady improvement in the measured results. Such organisations also tend to build in flexibility mechanisms for periodically updating targets following changes in scheme environmental conditions and/or a more realistic assessment of what is "achievable" with the limited resources available within a certain time-frame and context.

*The Public Management Division of the Organisation of Economic Cooperation and Development (OECD-PUMA)*⁷ summarily presents the rationale of performance measurement in the public sector as follows:

"The main objective of performance measurement in public organisations is to support better decision-taking leading to improved outcomes for the community; all other objectives are derived from this. They include the following:

- To improve the performance of an organisation from the point of view of economy, efficiency, effectiveness, cost-effectiveness and quality of services;
- To improve control mechanisms for managers and ministers and accountability mechanisms for external reviewers such as auditors and legislators;
- To inform the budgetary process by providing decision-takers with new kinds of information which allows them to make linkages between performance and budget;
- To motivate staff to improve performance. "

Performance Management and Measurement Tools Kit

Three inter-related methodological instruments are discussed hereafter for systematic performance management and measurement. Common between these instruments is the central use of indicators (OVIs – objectively verifiable indicators). An integration of these instruments in one system design framework is presented thereafter.

The Logical Framework

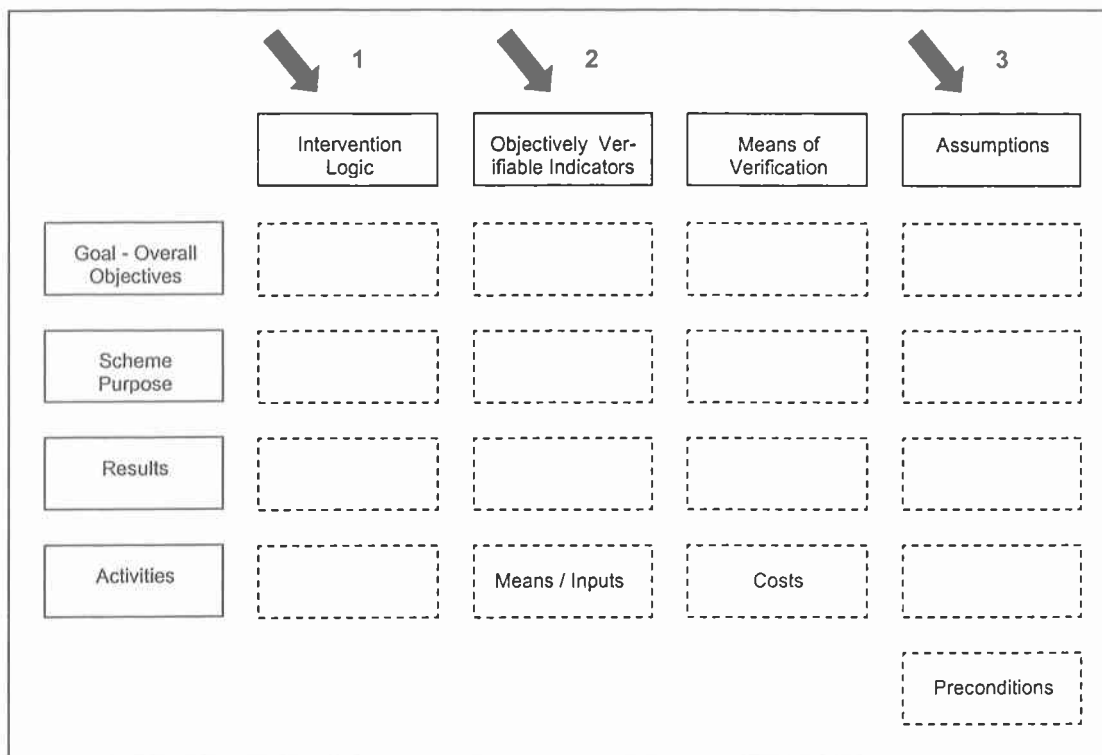
The Logical Framework (LogFrame) is an analytical tool developed in the 1970s by a number of (development agencies and, in general, has become increasingly popular ever since. It appears however that overall the enthusiasm for the instrument has experienced a cyclic movement with an *upward popularity lately* as a result of the more dynamic dimension provided to it by *complementary instruments as business plans and performance monitoring and evaluation systems*.

The *European Commission* (EC) defines the LogFrame as a "method [which] consists of an analytical process and a way of presenting the results of this process, which makes it possible to set out systematically and logically the project / programme's objectives and the causal relationships between them, to indicate how to check whether these objectives have been achieved and to establish what assumptions outside the scope of the project/programme [which] may influence its success."⁸

The *popularity* of the instrument is mainly due to the logical presentation of the results of the above-defined analytical process in a matrix format, which provides a nutshell overview of the entire intervention. Secondly, both the horizontal rows (intervention logic) and the vertical columns are conceptualized in such way as to form the basis for the different chapters of a programme/project document or financing agreement. Its third main functionality is related to its crucial role in guiding each of the subsequent phases of the integrated programme cycle.

Unfortunately, this latter aspect has often *not been utilized to the fullest extent*, since in many cases the LogFrame has been viewed by both implementing and executing agencies as a mere mandatory formality – if not inconvenience - for obtaining programme funding from the donor or financing agency. In many cases, once drawn-up and integrated in the formal programme document / financing agreement, the LogFrame has never been actively used thereafter as an active management instrument, neither for day-to-day nor strategic management.

For the purpose of performance management and measurement, let's have a closer look at the matrix presentation format of the LogFrame, with its vertical and horizontal axes, and to determine the main components of particular relevance for a performance management and measurement system:



The essential feature of the Logical Framework for performance management is that it explicitly places each and every scheme input and activity in the ambit of the achievement of results and the attainment of both scheme (purpose) and higher developmental (goals) objectives. This mechanism is illustrated by the *vertical intervention logic* of the LogFrame, indicated by arrow 1 in the above visual presentation. The LogFrame therefore, both in theory and de facto, is a potentially powerful performance management instrument.

The Logical Framework matrix not only brings internal management factors in the overall performance equation, but makes due provision for the effective incorporation in this equation of external factors which are largely beyond the control of the scheme manager(s). This mechanism is indicated by the third arrow in the above LogFrame matrix and refers both to the *assumptions* at each level of the intervention logic and to the even more fundamental *preconditions* to the whole intervention scheme itself (necessary conditions which have to be fulfilled before the start of the scheme for it to have any change of even successfully taking off). Particularly for environments which are unstable, unpredictable and highly volatile as in the case of many development schemes, it might be easily averred that *risk management* is as important as performance management in the narrow sense of scheme internal factors. For development schemes therefore, risk management cannot be de-linked from performance management. On the contrary, risk man-

agement provisions necessarily need to be integral part of overall performance management. Hence, performance measurement systems need to make due provisions for the incorporation of risk analysis, if not risk measurement. Based on this insight, further substantiated by empirical evidence, some agencies go as far as making risk measurement a virtually equally important instrument for performance management as performance measurement.

The Logical Framework however is more than an analytical instrument focusing on results and attainment of objectives (arrow 1), taking into consideration external factors influencing / inhibiting this process (arrow 3). It provides for tools to effectively assist the implementors - the manager, external supervisors and other stakeholders including the clients-beneficiaries - in objectively assessing / measuring on a regular basis if the scheme is effectively on track in achieving the results and objectives as planned. Arrow 2 in the above chart points at this backbone of both the Logical framework as strategic management instrument and the performance monitoring and evaluation system / performance measurement system as strategic information system. *Objectively Verifiable Indicators* (probably better known under their abbreviation : OVIs) form the critical link between strategic performance management and strategic information systems. OVI's are the tool "par excellence" for performance measurement.

Interlocking of LogFrames

While the functionality of individual LogFrames has been closely associated in first instance with special projects or individual regular programmes (captured in the term "scheme" as the common semantic denomination), it is the ability of interlocking of Logical Frameworks which makes it a most powerful tool for organisational performance management and measurement.

One of the very useful features of the LogFrame methodology indeed is that each Logical Framework can be *decomposed* in a series of component LogFrames of a lower level. Or expressed the other way round: a series of related LogFrames can be integrated in a Logical Framework of a higher level. This is a most important feature enabling the development of a performance measurement system for an entire public administration. Such system is able to generate output reports with different levels of aggregation, useful for the respective decision-makers at each of these hierarchical consolidation levels.

LogFrame and Integrated Programme Cycle Management (PCM)

The development of the Logical Framework is a dynamic process. It constitutes one of the main challenges in the *preparation phase* (identification and formulation sub-phases) of a scheme, regardless if it is an activity, a project, a specific or a regular programme.

In addition to being embedded in the scheme planning, identification and formulation phase, the dynamic perspective of the LogFrame particularly pertains to its relevance for programme *implementation* management and monitoring and for programme *evaluation*

(interim reviews, mid-term reviews, end-of-programme evaluations, ex-post evaluations). The LogFrame's relevance as management tool therefore covers the entire integrated programme cycle.

Programme Cycle Phases and PME Concerns

Programme Cycle Phase	Main Performance M&E Concerns
Identification	Formulation of objectives (tree)
Formulation	- LogFrame Objectively Verifiable Indicators (2nd column) - Target setting on the individual indicators (overall and periodic specific) - Selection of Scheme Key Indicators for performance M&E - Establishment of Scheme Key Indicator Matrix (SKIM)
Appraisal	Screening of the SKIM (accuracy, relevance,)
Implementation	- Reporting on achievements / accomplishments in comparison to the periodic specific targets, and as such functional for: * Internal monitoring / progress monitoring * External monitoring * Interim evaluations and mid-term reviews - Periodic tripartite review of plans and updates of LogFrames
End & Ex-post	Evaluation

The other side of the methodological Programme Cycle Management (PCM) coin is that performance measurement, monitoring and evaluation can only be meaningfully executed, if the *necessary conditions* have been created in the programme/project preparation phase. This particularly pertains to the unambiguous definition of objectives, objectively verifiable indicators and target setting (both overall scheme targets and periodic, interim targets for regular performance monitoring). Hence, the overriding importance of structured performance planning and budgeting as preconditions to performance management and measurement.



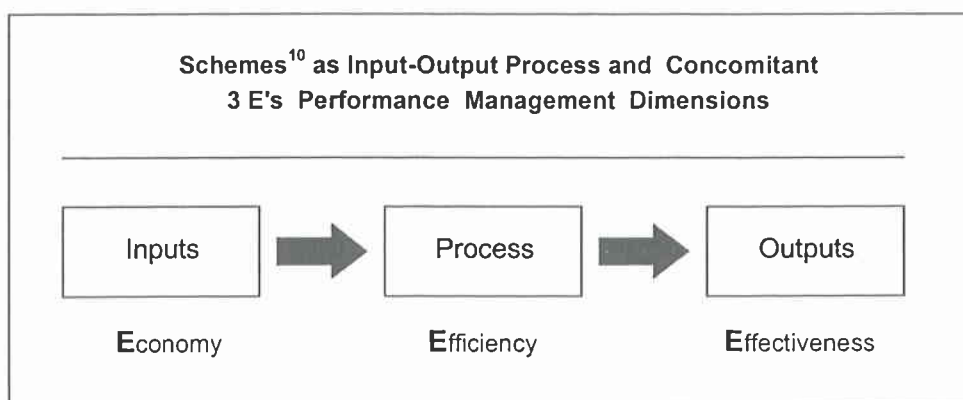
The Three E's of Performance Management

In the late Seventies the "Three E's" framework became an increasingly popular tool in performance management, measurement and audit circles. Its validity and operational usefulness is still beyond any doubt, only that in certain case new dimensions have been

added as for example development relevance, sustainability, client satisfaction etc.⁹ (which can still be integrated under the effectiveness dimension of the three E's). The three E's respectively refer to the main performance criteria of Economy, Efficiency and Effectiveness, whereby:

- *Economy* refers to the costs, quantity and quality of inputs and timeliness of inputs availability and/or delivery;
- *Efficiency* refers to the manner in which inputs are processed for the production / delivery of the expected outputs / results in a timely and cost-efficient manner;
- *Effectiveness* refers to the extent to which the expected objectives have been achieved / accomplished;

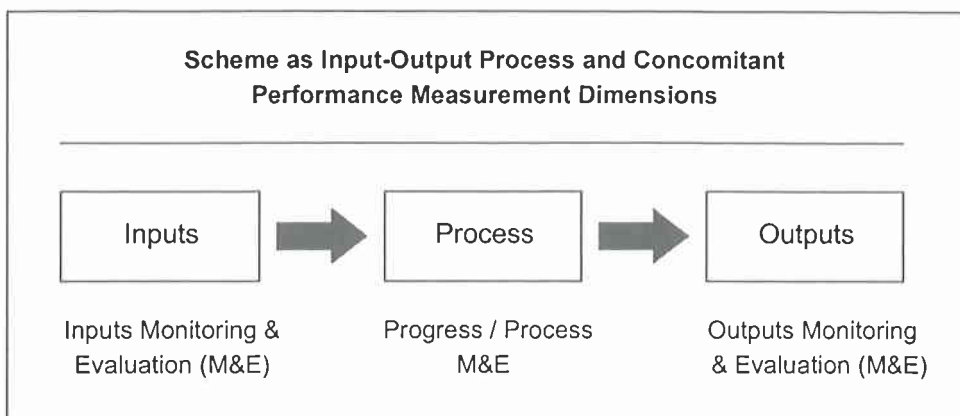
The framework was initiated in *National Audit Offices* to conduct performance audits which are much more comprehensive than the traditional financial or procedural audits, but soon got spilled-over to other entities concerned with performance management, reviews and evaluations.



*CIDA*¹¹ defines a well performing development scheme (whether an overall programme or an individual project) as one that is providing, in the most cost-effective manner possible, expected results that continue to be relevant, without causing any unintended negative consequences. This description explicitly carries with it two of the three "E's": efficiency (the cost-effective aspect) and effectiveness (provision of expected results). The third E of Economy is subsumed in the cost-effective aspect. The definition adds to this the key criteria of development relevance ("continue to be relevant") and of sustainability "without causing any unintended negative consequences"..

In conformity with the three E's framework, *performance measurement* as the information basis for performance management is equally concerned with the three basic phases of

any inputs-outputs conversion process, regardless its level of aggregation (from individual activity or project to sectoral or overall corporate programme):



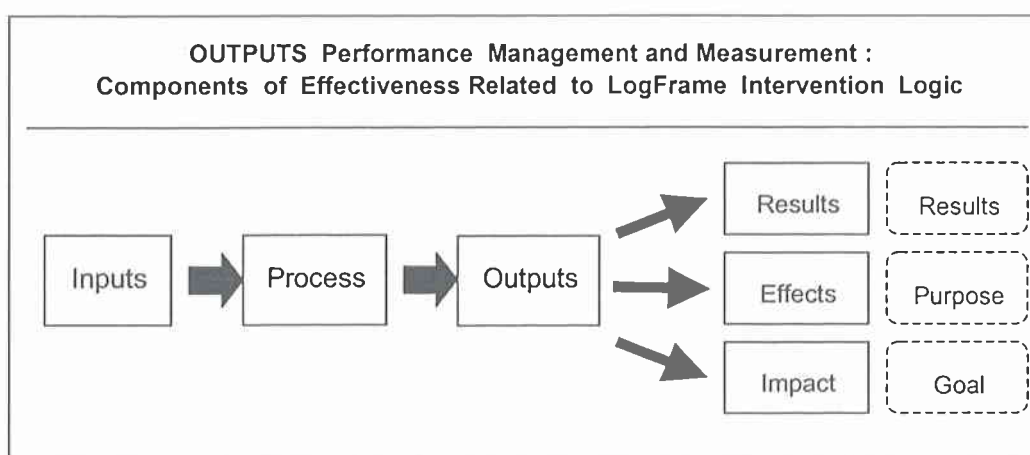
(1) The *first "E" of economy* basically relates to performance criteria associated with the different types of inputs and their supply/delivery/provision into the scheme. As such, this dimension concerns the more traditional monitoring and evaluation exercises which are basically limited to accounting, personnel, equipment and supplies management only. Most traditional management information systems are basically limited to inputs monitoring, and more particularly to budgeting and accounting aspects therein only.

(2) The *second "E" of Efficiency* is related to performance assessments of the cost-efficiency and quality of the conversion processes of scheme inputs into desired / planned outputs. This dimension of the performance measurement system pertains to the scheme activities and is referred to as progress or progress monitoring and evaluation. It is the almost equally traditionally approach of activities based management, monitoring and evaluation. It however appears from the situational analyses of performance management and measurement practices in many public administrations that activities monitoring and evaluation is not yet systematized, if in existence at all.

(3) The *third "E" of effectiveness* refers to the extent to which the scheme has achieved its stated objectives (its expected results in terms of effects and impact - the purpose and goal levels of the Logical Framework intervention logic). This is the path of Results Based Management (RBM) or Management By Objectives (MBO), as against activities based management. It is only based on the results they generate (directly or indirectly) that the executed activities are assessed. In short, the performance management and measurement attention shifts from the activities to the results. By way of example, not the number of training activities is important, but the effects and lasting impact they entail with the participants in terms of increase knowledge, changed attitudes and/or adoption of new practices (the so-called KAP continuum of Knowledge, Attitude and Practice), and ultimately the changes in their lives brought about (e.g. increased family income, improved overall health and nutritional situation, and other quality of life aspects.)

The *outputs* of an action and intervention can be analytically *differentiated* inasmuch as they are immediate, short-term or long-range, and also inasmuch as they are direct or indirect. In the means-ends chains of the intervention logic, the Logical Framework differentiates three hierarchical levels: results (more direct outputs of the activities), purpose (at the level of the development scheme), and goals (overall objectives, at the level of the target groups and society as a whole, largely beyond the scope of the development scheme). The indicators corresponding with each level have been identified earlier respectively as:

- Results indicators
- Effects indicators
- Impact indicators



Particularly for development programmes, projects and activities, the following *criteria* related to the overall performance dimension of effectiveness are integral part of *effectiveness measurement / assessment* exercises: impact, client satisfaction, development relevance and sustainability.

The Performance Management and Measurement Methodological Pendulum

Originally, the *traditional* monitoring exercises were related to inputs and activities only. A *major change* in monitoring orientation occurred with the introduction of results based management. Monitoring gradually got more intensely focused on the other end of the LogFrame intervention logic, namely impact and development relevance. Operationally, in accordance herewith, external monitoring became a more prominent tool. In certain cases, this swing in M&E focus became so outspoken almost to the detriment of structured, systematic internal monitoring.

The envisioned comprehensive performance management and measurement system is a system which focuses on *bridging the gap* between traditional, activities based monitoring and evaluation on the one hand and systems with an excessive fixation with development relevance, sustainability and other strategic criteria to the detriment of / neglecting economy and efficiency aspects. It does so in the light of an *equilibrium* between the "three E's" of performance management aimed at.

The Integrated Performance Management and Measurement System Framework

By integrating the different elements of the Logical Framework Analysis (LFA) and Integrated Programme/Project Cycle Management (PCM) discussed here above from the perspective of performance management, the *outline* of a comprehensive performance measurement system as presented in the summary sheet on the next page is arrived at (sample of the Performance Monitoring and Evaluation System for the Belgian International Co-operation).

On the *vertical axis* are presented the different levels of the intervention logic of the Log-Frame. As can be gleaned from the chart, a main differentiation is made between the first four dimensions / instruments in first instance being subject to scheme internal monitoring and external quality control, and the last two instruments in first instance fit for scheme external monitoring and scheme evaluation / assessments. The six performance measurement dimensions and respective tools are referred to as:

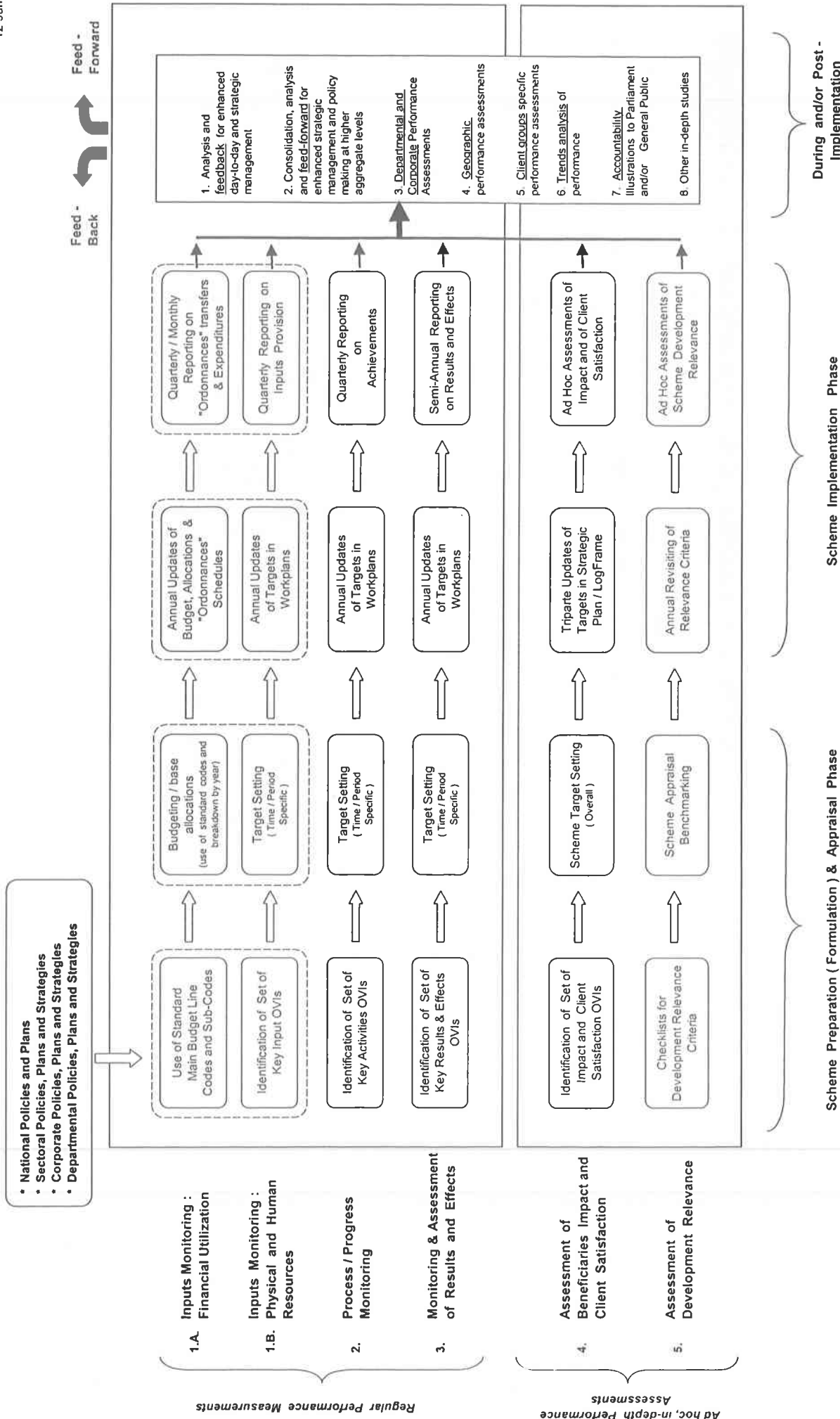
- | | |
|------------|---|
| 1.A | Inputs monitoring: financial utilization |
| 1.B | Inputs monitoring: physical and human resources |
| 2 | Process / Progress monitoring (activities) |
| 3 | Monitoring and assessments of results and effects |
| 4 | Assessment of beneficiaries impact and client satisfaction |
| 5 | Assessment of development relevance |

On the *horizontal axis* is presented the Programme Cycle Management (PCM) embedded process of identification of sets of key OVIs, target setting on these, annual updates, and periodic reporting of achievements as against the targets.

Performance Measurement and Management based on the use of Key Objectively Verifiable Indicators (OVIs)

1 - Logical Framework Analysis (LFA) and Integrated Project / Programme Cycle Management (PCM) as Basis

12-Jun-01



The chart furthermore gives a general indication of the *functionality and possible uses* of the performance measurement information generated:

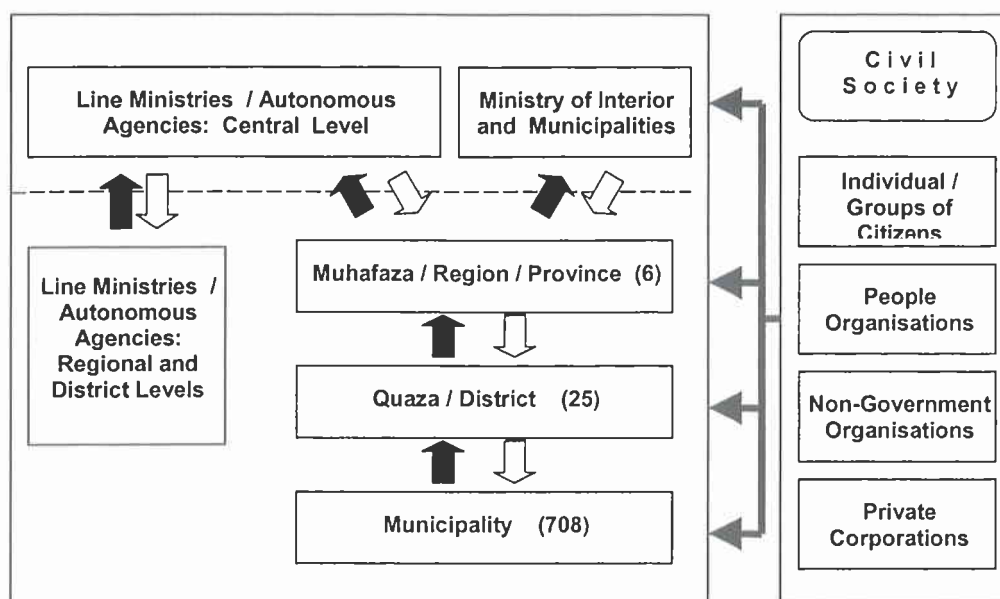
1. Analysis and feedback for enhanced day-to-day management and strategic management at scheme level;
2. Consolidation, analysis and feed-forward for enhanced strategic management and policy making at higher aggregate levels;
3. Sector and sub-sector performance assessments;
4. Country and (Sub-)Regional performance assessments;
5. Thematic performance assessments
6. Accountability illustrations to Parliament and / or the General Public;
7. Other in-depth studies.

Client Orientation, Participatory Systems, Stakeholders Ownership and De-concentration

De-concentration, devolution and decentralisation are some of the key words describing the current general policy of bringing government services *closer to the citizens* in their respective neighbourhoods, communities and municipalities. The ARLA programme for example actively supports this policy and is in the process of designing action programmes for further strengthening Local Government Units (LGUs) in Lebanon, particularly at the level of the Municipalities.

In the case of Lebanon, the *Local Government Units* are organised in three different levels. The smallest official administrative units (with elected officials) are the municipalities (a total of 708 or so), with 25 Quazas / Districts at the intermediate level and 5 Muhafazas / Regions / Provinces at the LGU co-ordinating level.

The importance of bringing government services closer to the citizens and strengthening the institutional framework of government organisations accordingly cannot be under-scored enough particularly from the perspective of strengthening *the effectiveness dimension* of public sector performance management. This is particularly relevant for the higher end of the LogFrame intervention logic of programmes, projects and other interventions which has to do with long-term impact and development relevance at the level of the ultimate beneficiaries and clients, thus the citizens. Instruments as clients complaints monitoring and client satisfaction ratings are other important components of a more client focused public sector service delivery performance measurement system.



A genuine performance measurement system concentrating on public programmes' effects and impact therefore necessarily will need to generate its information from the *grassroots level of target groups and individual citizens*. This obviously necessarily implies an active involvement of the Local Government Units (LGUs) and the regional and sub-regional chapters of Line Ministries and Autonomous bodies in information collection, capturing and reporting.

A major challenge hereby is to ensure *smooth information flows* between the Ministries' Regional and Sub-Regional Offices and the national Headquarters Offices, but at the same time to see to it that the performance information of the different Line Ministries is duly integrated horizontally at the level of the supervising and co-ordinating Local Government Unit (LGU) concerned. The assurance of this combined horizontal integration and vertical consolidation of performance measurement information is one of the main challenges being faced by any public sector devolution programme, as proven by so many cases all over the world. The problem boils down to designing and maintaining a sustainable workable compromise between technical supervision and co-ordination on the one hand (the Line Ministry vertical reporting line) and administrative supervision and co-ordination on the other hand (at the respective Local Government Unit levels).

The Role of Evaluation in Performance Management

For the Organisation for Economic Co-operation and Development (DAC-OECD)¹², evaluation clearly is a performance-oriented instrument and should therefore be seen as a part of a wider performance management framework. The OECD rapport concluded

that many governments have introduced comprehensive approaches for managing performance of government organisations, but that the relations between evaluation and performance management are not always clear.

In part, this is because evaluation was well established in many governments (particularly in the field of the official development assistance) before the introduction of performance management was introduced, while the new performance oriented approaches did not necessarily incorporate evaluation. New performance management techniques were developed partly in response to perceived failures of evaluation: for example, that uses of evaluation findings were limited relative to their costs. Moreover, evaluation was often viewed as a specialized function carried out by external experts or independent units, whereas performance management, which involves reforming core management processes, was essentially the responsibility of managers within the organisation. The result was that evaluations were often perceived as *rather academic exercises* with limited use for actual programme (both strategic and operational) management. This perception is strengthened by the timing in the programme cycle evaluations usually have been undertaken so far: mostly ex-post, after termination of the scheme or at a very late stage when problems have accumulated so much that the obvious choice is to discontinue or abandon the derailed intervention since strategic corrections or re-orientations would be too costly or simply not possible anymore.

Three Main Approaches

The OECD Public Management Committee¹³ furthermore clarifies that the "failure to consider and clarify relations between evaluation and performance management can lead to waste, duplication, conflicting signals about aims and results, and tensions among organisations and professional groups. Most governments see evaluation as a part of the overall performance management framework, but the degree of integration will depend on the role of evaluation. There seem to be three main approaches:

1. Evaluation is seen as a separate and independent function, with clear roles vis-à-vis performance management;
2. Evaluation is seen as a separate function but integrated with performance management;
3. Evaluation is not seen as a separate function but integrated with individual performance management instruments.

Based on practical experiences, the author tends to favour the second option as the most suitable in most cases.

Performance Indicators as Cornerstones of Performance Measurement

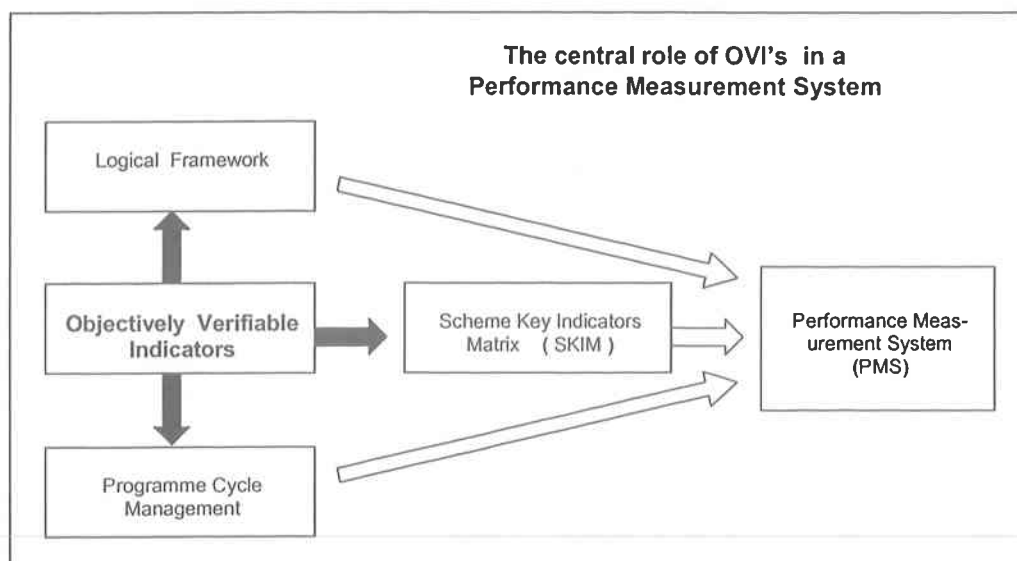
OVI's as System Backbones and Reporting Simplification Instruments

Because of the systematic use of Objectively Verifiable Indicators (OVIs), the Logical Framework is an analytical management instrument particularly fit for the elaboration of a standardized performance measurement system. The OVIs *are the cornerstone, the backbone* of such information system.

The use of OVIs is also a necessity for making the performance management and measurement system as *user-friendly* as possible and effectively bringing with it a substantial *reduction in reporting workload* for the different parties concerned. OVIs are therefore a crucial instrument in consonance with ARLA's sub-programme of simplification of procedures and de-bureaucratization.

System Flexibility

In the process, the compilation of key indicators can be changed over time as well as the target setting on them can be adapted following changed internal or external conditions, for as long as these changes are officially approved by the different parties involved (planning, budget, executive management, eventually international donor / financing agencies, ...).



Therefore, key indicators also provide the necessary *flexibility* to the system and break open the rigidity of all too dogmatic planning. In short, OVIs not only make the vertical intervention logic of the LogFrame and its multiple chains of means-ends relations measurable or at least objectively/empirically verifiable. They also provide the LogFrame analytical system with a *time framework* for effective operationalisation based on intermediate and final benchmarks / targets.

Moreover, through the built-in mechanism of for example tripartite reviews and updates or other interim assessments, the necessary system flexibility is ensured. Hence, Objectively Verifiable Indicators (OVIs) are the *binding cement* between the LogFrame and Programme Cycle Management, thus in turn facilitating (standardized) performance management, measurement, monitoring and evaluation.

LogFrame Intervention Level Specific Indicators

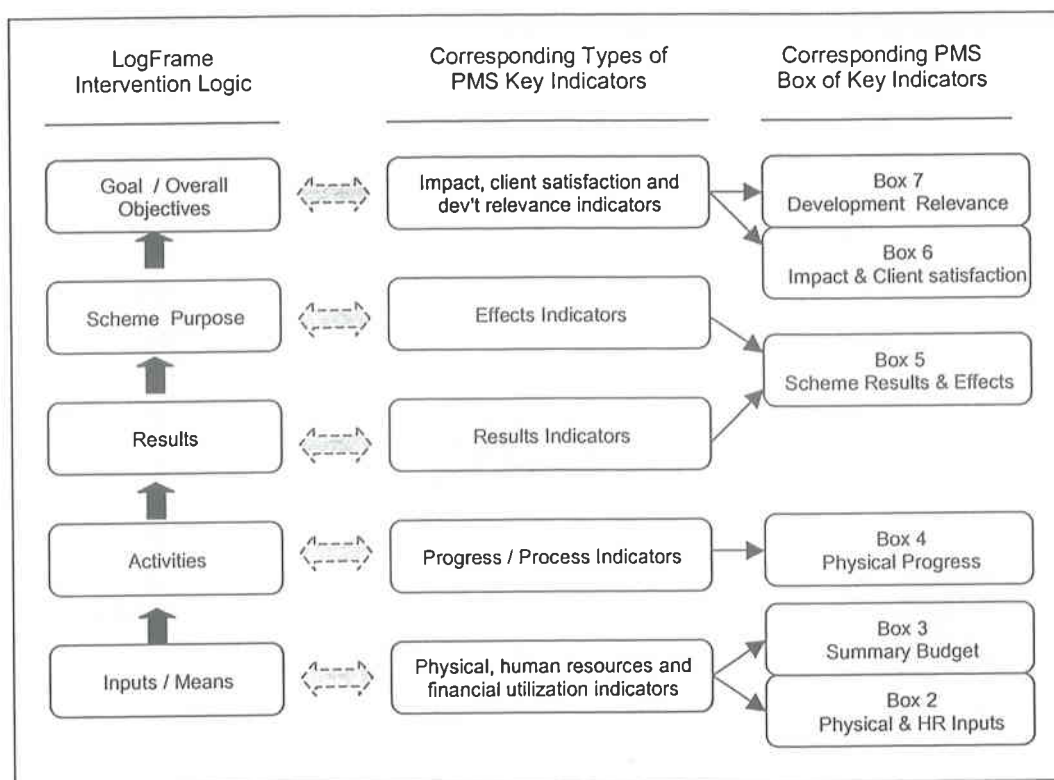
Objectively Verifiable Indicators are defined for each level of the LogFrame intervention logic. Because of the multiple cause-effects or means-ends relationships which exist between the different vertical layers of the LogFrame intervention logic, the sets of Objectively Verifiable Indicators associated with each layer constitute a very powerful instrument for *strategic information management*. The OVIs link results based management with strategic information management in a mutually reinforcing manner. In a comprehensive performance measurement system, the key OVI's fulfill this important intermediary and facilitating function.

One of the essential features of a comprehensive Performance Management and Measurement System is the monitoring of the schemes on each of the vertical layers of the LogFrame intervention logic: inputs, activities, results, purpose and goal. For each level, specific sets of indicators are defined in the LogFrame matrix. The respective types of indicators corresponding to each level are labeled as indicated in the second column of the box on the next page.

It should be noted that in the literature no uniform denomination is given for each type of indicators by the different agencies. *Differences in terminology* particularly occur at the higher end of the intervention logic.

Indicators and Key Performance Indicators

For day-to-day management and internal monitoring purposes, the information requirements of scheme management and implementors may be quite vast, diverse and detailed. On the other hand, the information requirements for more aggregate - and especially for external - performance management, monitoring and evaluation are more limited and succinct.



A comprehensive performance management and measurement system makes use of what can be called "*Key (Performance) Indicators*". This is a limited number of indicators (as a rule of thumb not more than 8 to 10 per indicators type) which can be considered representative and relevant for performance measurement on the vertical intervention logic level concerned. Such key performance indicators are determined (or selected from amongst the whole gamma of indicators included in the LogFrame matrix) *for each vertical intervention logic level*.¹⁴

The participatory development and selection of key OVI is of crucial importance for system ownership purposes, and thus for effectively guaranteeing its ultimate usefulness and sustainability.

The process of participatory performance indicators development, particularly at the higher end of the LogFrame vertical logic, ideally (necessarily) involves four types of stakeholders:

1. Sectoral specialist (for sectoral technical aspects);
2. Performance measurement methodological specialist (for aspects pertaining to information systems, for ensuring standard indicator characteristics as consistency, relevance, validity, cost-effectiveness, etc.);

3. Reporting staff at the operational level (to ensure uniform and clear understanding of the OVI, feasibility of reporting requirements, user-friendliness of data collection), and last but not least;
4. Representatives from targeted groups, beneficiaries/clients and civil society stakeholders (to ensure OVI relevance with regard to felt needs and priorities).

Of crucial importance for performance measurement, monitoring and evaluation is the *availability of the necessary benchmark / baseline data* as comparative basis against which to assess scheme progress, accomplishments and achievements. In the case of the Lebanese public sector, the crucial role of the Central Administration of Statistics (CAS) at central level and of the different statistical units in the respective line ministries cannot be underscored enough in this respect. Benchmark data provide the necessary comparative basis against which to assess accomplishments and achievements. Establishing a reliable benchmark baseline database therefore is one of the priority issues to be addressed by any performance management and measurement system.

Functionality and Benefits of Performance Measurement

The *main benefits* of an effectively operational Performance Measurement System are related to the two fundamental functions of performance measurement:

- ⇒ **As management tool facilitating rational decision-making**
- ⇒ **As accountability assurance instrument**

A performance measurement system in first instance is a managerial tool, *serving internal managerial and organisational purposes*. Any performance measurement (monitoring and evaluation) system will need to be designed, developed and operationalised with such positive connotation as to maximise these managerial capacity strengthening potentials to the fullest extent possible.

These potentials are relevant to both the *individual* programme and project level on the one hand and the *aggregate* programme and organisational/corporate levels on the other hand. Herein lies one of the major strengths of a performance management and measurement system based on the use of key indicators. A schematic overview of benefits for both levels is presented hereafter:

a) PMS Benefits at Individual Scheme Level

- ➔ Updated information on the status of scheme implementation available with scheme management at any time;
- ➔ Reporting of essential performance information only, resulting in a substantial reduction of reporting workload;
- ➔ Systematic comparison of achievements against targets, facilitating schemes to be on track as planned;
- ➔ Early warning function / early detection of problems enabling early corrective actions and/or problem reporting to appropriate hierarchical levels or third parties for early action to be taken;
- ➔ Makes trend analyses (analyses over a period of time) possible;
- ➔ Makes fast decision-making possible based on objective, relevant, summary information;
- ➔ Focuses the scheme on the achievement of results and objectives (results based management) instead of on mere activities only (traditional activities management);
- ➔ Is a *conditio sine qua non* for evaluations and other in-depth assessments.

b) PMS Benefits at Higher Aggregate and Organisational / Corporate Levels

- ➔ Makes performance aggregations at higher levels possible, e.g.:
 - (sub)-sectoral
 - geographic
 - thematic
 - actor / agency specific
- ➔ Makes computerised external programme monitoring and supervision possible;
- ➔ Makes automated performance reporting possible;
- ➔ Facilitates increased transparency and accountability;
- ➔ Ensures improved performance information dissemination (feedback and feed-forward);
- ➔ Provides a regularly updated objective basis for supervisory and executive decision-making;

- Facilitates easy reporting to executive entities, both within and external to the organisation;
- Is an empowerment instrument for the local, field levels and for the partner stakeholders;
- At the same time, it facilitates objective external control in a cost-effective and cost-efficient manner;
- Contributes to improved communication between the different hierarchical levels of the organisation;
- Provides an objective basis for individual staff performance appraisal in relation to organisational performance;
- Contributes to improved communication between the different institutional actors and the central administration;
- Facilitates accountability to the general public (tax payers) and their elected representatives (parliament) and ev. international community.

RV / 11.09.01

Notes

- ¹ This paper is largely based on practical consultancy experiences of the author with regard to the design, development and operationalisation of public sector performance management and measurement systems in different parts of the world. Theoretical and practical insights are combined with illustrations from a recent ARLA Programme TA assignment in Lebanon which resulted in a report entitled "System Framework for Performance Measurement within the Lebanese Public Administration: Situational Analysis – Preliminary Scan; Draft Report on the mission to Lebanon, 28 May – 14 June 2001"; 111 pages (annexes in separate volume).
- ² OECD – Working Party on Aid Evaluation; "Results Based Management in the Development Co-operation Agencies: A Review of Experience"; Working Party 32nd Meeting – Background Document No. 3; November 1999.
- ³ OECD; *"In Search of Results: Perspectives on Public Expenditure Management"*; Paris; 1997.
- ⁴ Op. Cit.; pp. 6-7.
- ⁵ Osborne D. & Gaebler T.; *Reinventing Government – How the Entrepreneurial Spirit is Transforming the Public Sector*"; Addison-Wesley Publishing Company, Inc.; 1993.
- ⁶ Op. Cit.; pp. 146-155.
- ⁷ Public Management Division – Organisation of Economic Co-operation and Development; "Performance Management in Government: Performance Measurement and Results-Oriented Management"; OECD-PUMA Occasional Papers – 1994 No. 3; Paris; p. 13
- ⁸ Commission of the European Communities; "Manual Project Cycle Management - Integrated Approach and Logical Framework"; Brussels; February 1993; p. 14
- ⁹ Which still can be integrated under the effectiveness dimension of the traditional "3 E's".
- ¹⁰ Schemes is used here as generic indication for all types of initiatives and interventions, whether regular programmes, special projects, ad hoc activities, and so on.
- ¹¹ Canadian International Development Agency
- ¹² OECD – Public Management Committee; *"Improving Evaluation Practices – Best Practice Guidelines for Evaluation and Background Paper"*; PUMA/PAC(99)1 – Unclassified; January 1999; pp. 19-20
- ¹³ Op. Cit.; p. 20
- ¹⁴ The development of sets of key indicators ideally is a combination of inductive (based on selection of indicators from LogFrames of individual schemes) and deductive (development of sub-sector specific sets of performance indicators by experts and programme managers in consultation with the main stakeholders concerned) processes. To stimulate the latter processes, the organisation of a series of sub-sector specific key indicators development workshops is highly recommended.

L'évaluation du personnel: De la notation à la gestion des performances, des compétences et du potentiel¹

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Les pratiques d'évaluation du personnel sont très diversifiées au sein des fonctions publiques des pays européens. Elles peuvent s'inscrire dans un spectre continu qui s'étend de la notation à l'évaluation des performances, des compétences, voire du potentiel.

1. Typologie de l'évaluation

Avant d'entrer dans les méthodologies spécifiques d'évaluation utilisées par les Fonctions publiques, il est utile de distinguer plusieurs types d'évaluation, d'indiquer leurs modalités respectives d'application et de les illustrer à l'aide d'exemples caractéristiques des critères utilisés par chacun d'eux.

Cette distinction est présentée dans le tableau suivant :

Types	Modalités	Exemples de critères
1. La notation	Appréciation des personnes et de leur comportement	Présentation ; politesse ; connaissance administrative ; respect de la hiérarchie
2. L'évaluation du rendement	Mesure de la productivité ou de l'efficacité des agents (quantité de travail fourni)	Nombre d'affaires ou de dossiers traités
3. L'évaluation des performances	Mesure de l'efficacité et de l'efficacités (+qualité) par rapport à des objectifs Redéfinition d'objectifs et examen des conditions de fonctionnement	Appréciation par rapport à des indicateurs quantitatifs (nombre, délais) et qualitatifs (qualité des textes, réduction des plaintes,...)
4. L'évaluation des compétences	Comparaison entre les compétences requises par les fonctions et les compétences actuelles	Critères résultant de l'analyse des fonctions et des profils de postes : capacité d'écoute, capacité de direction d'équipe
5. L'évaluation du potentiel	Comparaison entre les besoins de compétences de l'organisation et les compétences et capacités d'évolution des membres du personnel	Potentiel managérial ; capacités de négociation...

¹Voir sur ce sujet : Christian Batal, La gestion des ressources humaines dans le secteur public, Les Editions d'Organisation, 1997 ; Danish Ministry of Finance, Human Resource Development in Danish Central Government, 1994 ; Jean-Marc Le Gall, La gestion des ressources humaines, Que sais-je ?, P.U.F., 1992 ; Claude Piganiol, 'Recherche opérationnelle et gestion des ressources humaines', in : *Humanisme et Entreprise*, Nr 148/1984, pp. 53-69, pp. 73-92 et 149, 1985 ; O. Glenn Stahl, Public personnel administration, 8th ed., London, Harper & Row, 1983, Serge Vallemont : 'Gestion des Ressources humaines' Rapport au Ministre de la Fonction publique, de la Réforme de l'Etat et de la Décentralisation, 9 Dec. 1998 ; Dimitri Weiss, Pratique de la fonction personnel et le management des ressources humaines, Paris, Les Editions d'Organisation, 1982.

Deux observations s'imposent à l'analyse de cette typologie.

La première est que ces divers types d'évaluation peuvent, bien entendu, être combinés. Au Royaume-Uni, par exemple, deux objectifs sont cités dans un rapport gouvernemental consacré à « Une approche stratégique de la gestion du personnel » : l'amélioration de la performance et le changement comportemental et culturel (qualité de service).

La seconde observation est que toutes ces méthodologies ou techniques d'évaluation poursuivent des finalités **organisationnelles** bien précises. Elles visent, par des modalités socio-techniques appropriées, à :

1. conformer le membre du personnel à un modèle prescrit de comportement dans l'organisation (notation) ;
2. accroître la productivité de chaque membre du personnel et donc la productivité de l'organisation (rendement) ;
3. accroître sur les plans quantitatif et qualitatif la contribution individuelle aux objectifs de l'organisation (performance) ;
4. optimiser l'utilisation du potentiel global des ressources humaines de l'organisation (l'ensemble de ses « compétences »), conformément à ses missions ;
5. optimiser de manière prévisionnelle l'utilisation des ressources humaines par l'organisation (potentiel). Cette démarche s'inscrit dans le cadre d'une gestion prévisionnelle du personnel.

2. Les pratiques d'évaluation dans les Fonctions publiques nationales

Le tableau suivant, établi dans l'ordre protocolaire des États membres de l'Union européenne, détermine les caractéristiques principales des systèmes d'évaluation et indique les dates de mise en œuvre des méthodes en application ou les dates des dernières réformes adoptées ou en cours d'élaboration en matière d'évaluation.

B	92/98	Nouveau système d'évaluation de type « évaluation des compétences » et basé sur une approche fonctionnelle, c'est-à-dire qui prend en compte la réalité de la fonction ou du métier exercé en sélectionnant et en valorisant les facteurs ou critères les plus pertinents de la fonction ou du métier.
DK	94	<i>Human Ressource Development in Danish Central Government</i> . La Fonction publique danoise introduit l'entretien de performance. Lors de cet entretien entre le fonctionnaire et son supérieur direct, les éléments suivants sont analysés en commun : utilisation des qualifications personnelles dans l'emploi occupé ; équilibre entre savoirs et savoir-faire de l'individu et les tâches qui lui sont confiées ; souhaits de formation, de mobilité ou de réaffectation, plans de carrière à long terme. Le formulaire-guide d'évaluation est adaptable à chaque environnement professionnel.
	95	<i>Welfare for Citizens – Effective Public Institutions</i> . L'entretien de performance s'inscrit dans une dynamique de gestion des compétences et de développement personnel : 'where the interests of the staff member and those of the organisation meet in a constructive dialogue'.
GR	98	Système d'évaluation de performance en application: l'évaluation, obligatoire, mesure annuellement « de manière objective et impartiale la performance des fonctionnaires », prévoit dans le processus une étape d'auto-évaluation et un contrôle des notes exceptionnelles (9 et 10/10) ou insuffisantes (en dessous de

		5/10) par un Comité spécial de l'évaluation du personnel. Un nouveau système, en voie d'élaboration, prévoit notamment : - l'évaluation des Directeurs généraux sur la base de critères de capacité de coordination, de planification et de mise en œuvre de la politique gouvernementale ; - de nouveaux critères d'évaluation des directeurs, dont la capacité de prise de décisions ; - un questionnaire d'évaluation des <i>managers</i> par le personnel.
E	98	Un accord du Conseil des ministres du 17/06/98 prévoit l'implantation de « systèmes d'évaluation du rendement des unités administratives de l'administration générale de l'État » dont les finalités sont : - promouvoir l'auto-évaluation dans chaque unité de gestion ; - perfectionner la fonction de direction ; - promouvoir les pratiques de gestion centrées sur les résultats tels que la direction par objectifs ; - stimuler une meilleure utilisation des RH. L'Inspection générale des services de l'Administration publique espagnole est chargée de missions de soutien méthodologique, « sans préjudice de l'utilisation d'autres modèles méthodologiques permettant d'atteindre les mêmes objectifs ». Cette orientation manifeste une réelle souplesse de gestion en combinant la fixation d'objectifs assez précis et une réelle autonomie quant aux méthodes ou instruments utilisés pour atteindre ces objectifs.
F	96-	Modernisation de la Fonction publique et en particulier de la GRH qui évolue vers une « gestion prévisionnelle des RH ». Sans abolition de la traditionnelle « notation », mise en place d'entretiens (généralement annuels) et de procédures de concertation sur les objectifs et moyens entre hiérarchiques et subordonnés et introduction de critères d'évaluation plus stimulants. Déconcentration d'une série de décisions concernant les agents, dans le cadre de « contrats de service ».
IRL	98	Développement en cours (Ministère des Finances, en charge de la FP, en coopération avec HAY Management Consultants) d'un « processus de mesure de la performance » qui prend en compte 3 types de mesures : - des objectifs de résultats par rapport à des objectifs clés ; - des mesures d'accomplissement de tâches selon des normes définies ; - les facteurs d'aptitudes, compétences et comportements spécifiques. Le système doit introduire une dose significative de rémunération à la performance.
I	98	Une réforme en préparation prévoit d'introduire la mesure de la performance et d'y lier une partie de la rémunération.
L	86/87	Pas de véritable système d'évaluation, mais des éléments permettant de valoriser, dans la rémunération, la participation à des cours de formation continue et, pour les grades de fin de carrière, l'octroi de points indiciaires complémentaires en fonction de l'exercice de responsabilités et de conditions liées au « mérite personnel » (information 1998).
NL	90s	Décentralisation de la gestion de personnel dans les services, chacun étant responsable des opérations de recrutement, évaluation, promotion. Les <i>managers</i> adoptent les méthodes qui leur paraissent les mieux adaptées.
A	95-96	« Evaluation de la productivité » annuelle, par entretien avec les collaborateurs,

		qui vise à établir : - une évaluation des résultats de l'année écoulée avec échange sur les raisons des succès ou échecs éventuels ; - un accord entre parties sur les objectifs à atteindre dans l'année à venir ; - un accord sur les mesures à prendre pour maintenir ou accroître le niveau de productivité. Une discussion en équipe suit les entretiens individuels du service.
P	83	Mise en place d'un système d'évaluation similaire au nouveau système belge avec entretiens individuels et utilisation de critères diversifiés par niveau, avec tables de 5 modalités de prestations de qualité échelonnées de 1 à 10.
FIN	90s	Décentralisation de la gestion du personnel ; mise en place d'entretiens individuels d'évaluation dont les objectifs sont semblables à ceux définis au Danemark. Selon certains responsables d'agences publiques, la mise en œuvre concrète reste difficile ; la gestion des ressources humaines étant toujours plus malaisée dans la pratique que dans ses théories.
UK	90s 95 96-97	Décentralisation de la gestion du personnel dans les administrations et agences ; 95 <i>Investors in People</i> : possibilité pour toute organisation publique d'obtenir un brevet (valable trois ans) si elle atteint un niveau de qualité de GRH apprécié par des juges indépendants. 96-97 <i>Consortium Project</i> visant à évaluer l'approche actuelle et à promouvoir une approche stratégique de GRH, et <i>Benchmarking Human Ressource Activities</i>, un projet de comparaison de pratiques entre 10 organisations volontaires visant à dégager les « meilleures pratiques » et à les promouvoir dans toute la Fonction publique. Les rôles de la Fonction RH des organisations publiques deviennent : - stratège de la GRH dans l'organisation ; - conseiller et consultant auprès des <i>line managers</i> ; - administrateur et contrôleur des opérations de gestion ; - agent de changement. Dans un tel cadre, chaque département ministériel (voire chaque administration) et chaque agence publique disposent de l'autonomie des choix et instruments de l'évaluation des personnels. Les services publics centraux (le <i>Cabinet Office</i>) mettent en place les incitations (<i>Investors in People</i>), organisent l'analyse comparative des résultats obtenus (<i>Benchmarking</i>) et pilotent ainsi les évolutions d'un point de vue stratégique.

En rapprochant ces données nationales de la typologie établie au départ, nous pouvons dégager quelques tendances importantes et traiter quelques questions particulières.

3. Quelques tendances dominantes en matière d'évaluation du personnel

Les évolutions observées indiquent nettement quatre tendances dominantes : les systèmes d'évaluation, comme la gestion des ressources humaines dans son ensemble, sont de plus en plus décentralisés ; parmi les types d'évaluation mentionnés au début de cet exposé, c'est l'évaluation des performances qui s'affirme de plus en plus dans la pratique des administrations publiques européennes ; à cette évaluation se couplent de plus en plus souvent des modalités de rémunération à la performance ; et enfin, l'entretien d'évaluation devient un acte de GRH de plus en plus significatif.

Décentralisation de l'évaluation

Cette décentralisation s'inscrit dans le mouvement de décentralisation générale de la gestion des personnels dans les administrations publiques. Cette décentralisation vise en particulier la responsabilisation des fonctionnaires dirigeants : en leur déléguant les charges de définir eux-mêmes leurs pratiques de gestion, de prendre leurs propres décisions de recrutement, de formation, de gestion des relations sociales (employeurs et employés ou leurs organisations représentatives), les autorités politiques et administratives centrales (La Fonction publique et le Budget en général) forcent les *managers* administratifs à assumer directement les conséquences de leurs choix et de leurs actions. Les Pays-Bas et le Royaume-Uni sont sans doute les pays qui ont progressé le plus dans cette direction.

La décentralisation du choix des outils de gestion et spécialement des méthodologies d'évaluation du personnel auprès des gestionnaires des services contribue à une plus grande souplesse de ces méthodologies. Les systèmes uniques, conçus par les services centraux, et devant s'appliquer partout, dans des contextes souvent très différents (des experts d'un service juridique aux gardiens de prison par exemple), sont remplacés par des méthodologies adaptées à chaque cas d'espèce. Ceci n'empêche pas d'introduire et de soutenir, au niveau central, une perspective stratégique cohérente et unifiée.

L'Espagne semble s'orienter dans cette voie. Il faudra cependant apprécier ultérieurement si la pratique suivra les intentions annoncées récemment.

En Belgique, le contexte politico-administratif général et le conservatisme syndical arc-bouté sur la recherche à tout prix de l'uniformité, ont empêché jusqu'ici de telles avancées. La Fonction publique s'est cependant avancée aussi loin que possible dans un assouplissement des instruments d'évaluation par le biais de l'analyse des fonctions administratives et l'introduction des facteurs de pondération entre critères qui permettent d'écarter les critères non pertinents dans certaines situations et de doubler la valeur des critères les plus importants d'une fonction, qualifiés alors de critères clés.

Développement de l'évaluation des performances

La plupart des pays parlent aujourd'hui d'évaluation des performances. C'est manifestement le type émergeant d'évaluation parmi les cinq types présentés plus haut.

Cette évolution découle sans doute de l'exigence accrue d'efficacité, d'efficacités et de qualité de la part des administrations publiques qui s'est affirmée au cours des dix à quinze dernières années, dans un contexte budgétaire très contraignant.

Les pays les plus représentatifs de cette tendance sont² le Danemark, la Grèce, l'Irlande, l'Italie, les Pays-Bas, la Finlande et le Royaume-Uni.

Tendance progressive à lier la rémunération à la performance

La rémunération à la performance nécessite l'établissement d'un lien entre l'engagement du personnel au service des objectifs des organisations administratives qui les emploient et la compensation de cet engagement en termes pécuniaires par le salaire ou les primes. Ce lien est établi par le système d'évaluation des performances. Ce système définit le plus souvent des objectifs individualisés à atteindre au cours de la période qui suit l'évaluation, ces objectifs étant appréciés lors de l'évaluation suivante.

Plusieurs pays pratiquent déjà, dans une certaine mesure, la rémunération à la performance : ce sont le Royaume-Uni, l'Irlande, les pays scandinaves et les Pays-Bas. D'autres veulent s'engager dans cette voie : l'Italie, l'Espagne et l'Autriche notamment.

² Toujours cités dans l'ordre protocolaire des États membres de l'Union européenne.

Place centrale de l'entretien d'évaluation

Il faut enfin souligner l'importance croissante que les services de gestion des ressources humaines attachent à l'entretien d'évaluation.

Quel que soit le type d'évaluation mis en œuvre (de la notation à l'évaluation de potentiel), cet entretien est un moment privilégié dans la vie de la personne-travailleur, dans l'exercice de responsabilité de personnel de son supérieur et dans la vie du service ou de l'organisation. C'est l'occasion privilégiée d'un échange, d'un dialogue portant sur les aspirations du travailleur, sur les attentes du responsable, sur les conditions d'exercice des fonctions de l'un et des responsabilités de l'autre. Cet acte de gestion permet de faire le point, de prendre des décisions si possible en commun, d'acter dans un rapport les constatations effectuées et les orientations ou engagements pris pour la période à venir. C'est le moment de définir des objectifs – éventuellement en termes de performances à réaliser ou de résultats à atteindre –, de convenir d'efforts à réaliser, de conditions de travail à corriger, d'efforts d'amélioration ou de développement à mettre en œuvre, par exemple en termes de formation. Cela peut aller aussi jusqu'à une réflexion en commun sur la place de la personne dans l'organisation, sur des options de mobilité ou de changement d'affectation possibles, voire de perspectives d'évolution vers des postes à plus grande responsabilité.

On voit bien la place centrale de cet entretien dans le cadre des évaluations de performance (comme dans les cas de l'Irlande ou du Royaume-Uni), dans l'entretien qui s'aventure vers l'évaluation de potentiel en abordant les évolutions de carrière (comme dans le cas des pays scandinaves), mais aussi dans le cadre d'évaluations plus traditionnelles mais en évolution tout de même (comme dans les cas de la Belgique, de la France ou du Portugal).

4. Quelques questions d'ordre stratégique

La dynamique fondamentale qui anime la gestion des ressources humaines consiste à mobiliser les ressources, énergies et potentiels des personnels au bénéfice de la mission et est objectifs de l'organisation. Elle vise à accroître la motivation des personnels qui, idéalement, devrait conduire à une plus grande satisfaction de ceux-ci dans leur vie professionnelle et, simultanément, à leur performance accrue au sein des organisations publiques qui les emploient.

Dans ce contexte, trois questions revêtent un réel caractère stratégique.

Peut-on déconnecter évaluation et développement de carrière ?

La réponse à cette question nous paraît devoir être négative. L'évaluation est un moment privilégié de regard sur le passé (résultats atteints, performances réalisées, difficultés rencontrées, etc.) et d'interrogation sur l'avenir (nouveaux objectifs, besoins de formations, amélioration des conditions d'exercice de la fonction, appréciation du potentiel d'évolution, prise en compte des aspirations, etc.).

Il paraît donc inévitable que la question du développement de la carrière fasse partie des préoccupations au moins de la personne évaluée. C'est mieux encore si cette réflexion est intégrée dans le dialogue engagé lors de cette évaluation.

Les exemples du Danemark et de la Finlande constituent une illustration intéressante de ce processus.

Peut-on déconnecter évaluation et promotion ?

Cette question est proche de la précédente, mais elle s'en distingue si l'on définit le développement de carrière comme un processus qui s'étale dans la durée de la carrière du fonctionnaire, et la promotion comme un acte ponctuel de changement de poste avec

accroissement de la complexité de la fonction et/ou augmentation des responsabilités attribuées au titulaire de cette fonction.

Dans ce cadre, il est utile de distinguer évaluation et promotion comme deux actes de GRH : le premier vise à motiver en créant le maximum de conditions de développement professionnel de l'individu ; le second vise à sélectionner l'individu correspondant le mieux au poste vacant.

La distinction nette entre ces deux actes est affaire courante dans les Fonctions publiques structurées sur le modèle de l'emploi. Dans ce modèle de fonction publique, on ne promeut pas à un grade supérieur comme dans le modèle de la fonction publique de carrière. L'accès à un poste de complexité ou de responsabilité supérieure (promotion) résulte d'un appel aux candidats (qui peut être limité à l'intérieur de l'administration ou du département ministériel, mais qui peut aussi être ouvert sur le plan interministériel, voire au secteur privé) suivi d'une procédure de sélection à cet emploi à l'aide d'un jury de sélection. L'évaluation antérieure par le supérieur hiérarchique ne joue dans ce cadre aucun rôle particulier. Il a seulement permis à l'agent d'évoluer personnellement dans son engagement, sa formation et son développement, sa volonté d'aller de l'avant et, à un moment donné, de se sentir capable de postuler des emplois supérieurs et d'emporter la compétition organisée à cette fin.

Comment concilier évaluation et motivation ?

Il s'agit ici de lever, du moins au niveau des principes, – car si la théorie est aisée, l'art reste difficile ! – le paradoxe entre l'objectif de la GRH de motiver le personnel et la pratique de l'évaluation au cours de laquelle on perçoit toujours la crainte du jugement de la part de l'évalué et, souvent encore, un certain malaise dans le chef de l'évaluateur.

Pour tenter de lever ce paradoxe, il convient de s'appuyer sur les aspects positifs de l'évaluation que nous avons énumérés précédemment et que nous synthétisons ci-dessous.

L'évaluation est l'occasion privilégiée :

- d'un dialogue ouvert entre l'agent et son supérieur ;
- d'une analyse en commun des conditions de fonctionnement, et donc de la prise de décisions quant à des dispositifs d'amélioration de ces conditions ;
- d'une éventuelle récompense pour les efforts accomplis et les résultats atteints par la voie de compensations (salaires, primes) pour la performance réalisée ;
- d'une prise en considération des compétences de l'agent et d'une réflexion sur sa place dans le service ou l'organisation en général, pouvant conduire à des changements d'affectation, à des formations complémentaires de développement, éventuellement à des conseils de carrière, ou dans les fonctions publiques de carrière où la promotion est plus réglementée, à des atouts positifs par la mention favorable qui ouvre la voie vers d'éventuelles promotions.

On voit que l'évaluation peut constituer, effectivement, un acte de gestion concourant à la motivation du personnel.

5. Conclusions

Aujourd'hui...

La GRH et l'évaluation restent au premier plan de l'actualité dans la modernisation des administrations publiques en Europe : les nombreuses réformes, adoptées récemment ou en cours de préparation, que nous avons mentionnées, en témoignent.

L'évolution dominante est celle d'une prise en compte croissante de l'objectif de performance. Elle s'accompagne du recours aux techniques de l'entretien portant sur les résultats, les objectifs nouveaux et les moyens à mettre en œuvre, y compris les actions de formation ou de développement souhaitable des compétences.

La décentralisation de la GRH mise en œuvre par de nombreux pays de l'Union européenne vise à responsabiliser les gestionnaires des unités administratives, à les rendre autonomes dans la gestion de leur personnel.

Cette dernière évolution entraîne, dans les pays les plus avancés, un changement dans les responsabilités de GRH entre la « périphérie » (les organisations ou les unités de gestion) qui gère directement son personnel et adopte les techniques qui lui paraissent les plus appropriées, et le centre (la direction de la Fonction publique) qui devient davantage conseiller et consultant (Danemark et Royaume-Uni), promeut l'évaluation compétitive (*benchmarking*) des techniques et recommande les meilleures pratiques ainsi mises en évidence.

Et demain...

La démarche GRH la plus avancée aujourd'hui consiste à se détacher des finalités organisationnelles – la « mesure » et le « jugement » qui l'accompagne engendrant toujours des réactions de crainte et de justification – pour se concentrer sur les finalités psychologiques de motivation qui sont les véritables ressorts de l'action et de la performance globale.

L'évaluation vise alors à informer le membre du personnel de ses performances et de la perception qu'ont de lui ses supérieurs, ses pairs et ses collaborateurs (*évaluation à 360°*), et à engager fréquemment des dialogues relatifs au fonctionnement afin de créer en permanence les conditions optimales de compréhension des objectifs de l'organisation d'une part, d'environnement physique, technologique, social et humain d'autre part. Bref, cette approche vise uniquement le renforcement de la motivation.

Dans la réforme de gestion de son personnel, l'OCDE envisage dès maintenant d'adopter une telle orientation. Il n'est donc pas utopique de penser qu'une telle stratégie pénétrera demain nos administrations publiques.

Convergences ?

Les tendances dominantes décrites ci-dessus (section 3 de ce chapitre) indiquent en effet une convergence des pratiques de gestion des ressources humaines en matière d'évaluation du personnel. Les Fonctions publiques nationales ont largement abandonné les procédures classiques de notation et se sont engagées dans des pratiques plus décentralisées avec une évaluation plus proche du terrain et de la réalité des services, et plus orientées vers les motivations du personnel par le recours aux entretiens réguliers et à la liaison fréquente entre la performance évaluée et la compensation (*rewarding*) notamment salariale.

Cette relative convergence observée dans les faits est-elle le signe d'une "européanisation" des Fonctions publiques des Etats membres de l'Union ? Ce serait sans doute forcer le trait que de tirer une telle conclusion. Aucune harmonisation réglementaire n'intervient en effet sur ce plan qui échappe, en vertu des traités et du principe de subsidiarité fondamental en matière d'organisation des administrations nationales. Signalons cependant qu'un échange d'expériences et de perspectives de réforme en cette matière intervint entre les Directeurs généraux de la Fonction publique des Etats membres lors de leur Conférence informelle d'Athènes (5-7 mai 1994) à un moment où plusieurs pays procédaient à une révision de leurs systèmes d'évaluation du personnel.



Gestion des Ressources Humaines

De la rigidité à la flexibilité De l'administration à la gestion

Approche comparative des évolutions de la GRH
au sein des Fonctions publiques européennes

Robert Polet, IEAP, Beyrouth, Septembre 2001

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GRH

- 0 - En A.P., aujourd'hui, la GRH n'est pas à la hauteur...
- 1 - L'émergence de la Ressource humaine
- 2 - L'émergence de la GRH dans l'administration publique
- 3 - Les domaines de la GRH
- 4 - FP de carrière et FP d'emploi
- 5 - Évolutions significatives dans les FP européennes
- 6 - Conclusions

Robert Polet, IEAP, Beyrouth, Septembre 2001

2

GRH pas à la hauteur...

■ Des Besoins stratégiques de l'A.P.

- ◆ gestion des politiques / leadership / développement des personnels / gestion du changement en réponse aux évolutions de l'environnement de l'Administration publique.

■ Des Besoins des Usagers/Clients/Citoyens

- ◆ insatisfaction continue des citoyens et des opérateurs économiques, sociaux, culturels...

■ Des Besoins de Qualité de services

- ◆ complexité + lenteur bureaucratiques / (in)adaptation NTIC
- ◆ inefficacité structurelle comblée par personnel supplémentaire

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3

1- L'émergence de la Ressource humaine

■ Place de la RH dans l'organisation

■ Modèle EFQM + CAF

■ Théories de la motivation:

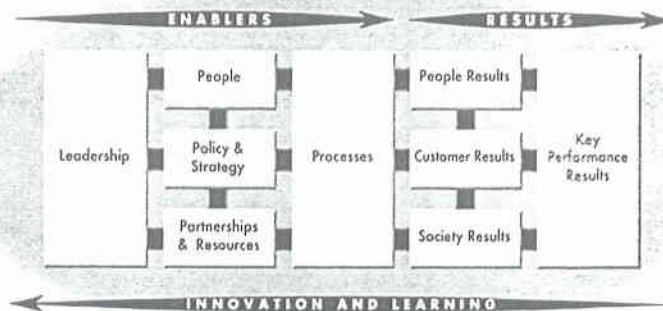
- ◆ Hiérarchie des besoins de Maslow
- ◆ Théories X et Y de McGregor
- ◆ Courant d'enrichissement du travail de Herzberg

Réf.: Aubret, Gilbert: Psychologie de la ressource humaine, P.U.F., 1998

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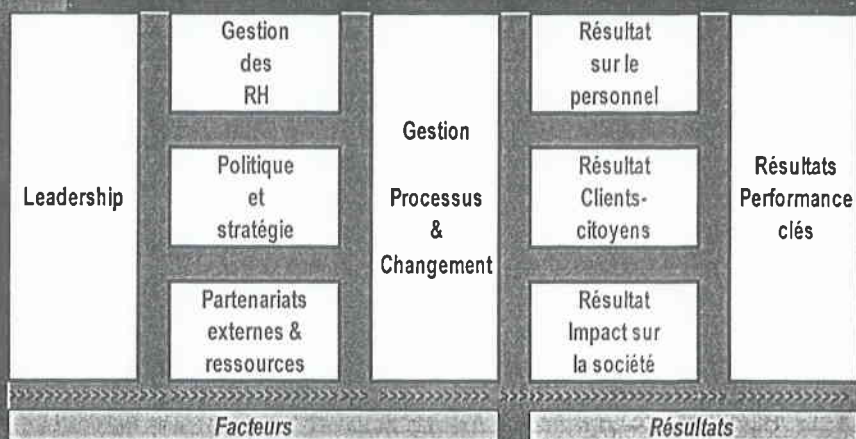
1.1. The EFQM Excellence Model



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1.1. Modèle Qualité A.P. = « CAF »



(CAF = Common Assessment Framework)

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1.2.- Hiérarchie des besoins (Maslow)



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1.3.- Théories de McGregor

Vision négative X

- Aversion pour le travail
- Nécessité de la contrainte
- Fuite des responsabilités
- Sécurité avant tout - peu d'ambition

Vision positive Y

- Effort dans le travail est naturel
- Capacité d'autogestion
- Acceptation et recherche de responsabilités
- Capacité de créativité

- GRH = Valoriser les potentialités Y

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1.4.- Frederik Herzberg

- Courant d'enrichissement du travail
- Théorie bi-factorielle des satisfactions:
 - ◆ Satisfaction liée aux «facteurs de motivation»:
 - ✦ responsabilité - progrès personnel - promotion
 - ◆ Insatisfaction liée aux «facteurs d'hygiène»:
 - ✦ conditions de travail - rémunération- sécurité d'emploi

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2- L'émergence de la GRH en A.P.

- ✦ Pressions sur les dépenses publiques
- ✦ Pressions politiques et idéologiques
- ✦ Changement démographique
- ✦ Changement structurel économique
- ✦ Augmentation des attentes du citoyen-utilisateur
- ✦ Pressions de la part des agents / salariés
- ✦ Évolution technologique
- ✦ Pressions en faveur de l'égalité des chances
- ✦ Intégration européenne

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3- Les domaines de la GRH

- Acquérir les ressources: **Recrutement**
- Affecter les ressources:
 - ◆ piloter les carrières
 - ◆ gérer la mobilité interne
- Utiliser les ressources
 - ◆ gérer la motivation
 - ◆ gérer la communication interne
 - ◆ gérer le changement en concertation

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3.2.- Les domaines de la GRH

- Conserver (fidéliser) ses ressources
 - ◆ améliorer les conditions de travail
 - ◆ évaluer les compétences disponibles
- Développer ses ressources
 - ◆ formation
 - ◆ valorisation-responsabilisation '*empowerment*'

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3.3.- Les domaines de la GRH

- Evaluer les ressources
 - ◆ appréciation du personnel
 - ◆ évaluation de l'efficacité de la fonction GRH (audit social - bilan social)
- Planifier : gestion prévisionnelle
 - ◆ des effectifs
 - ◆ des carrières
 - ◆ des emplois et compétences

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4.1. FP de Carrière et FP d'Emploi

■ FP de carrière

- ◆ recrutement à un grade de base
- ◆ cadre et vacances d'emplois (grades)
- ◆ formation initiale
- ◆ promotion (mérite) réglementée
- ◆ rémunération liée à l'ancienneté

■ FP d'emploi

- ◆ recrutement sur emplois fonctionnels
- ◆ création/suppression de postes selon les besoins
- ◆ sélection ouverte pour postes de responsabilité
- ◆ rémunération à la performance

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4.2.- FP de Carrière et FP d 'Emploi

■ FP de carrière

- ◆ B,D,GR,E,F,IRL,L,A,P

■ exemple F

- ◆ recrutement par les écoles (ENA, IRAs)
- ◆ accent sur polyvalence
- ◆ formation initiale
- ◆ rémunération fixée par la grille des salaires

■ FP d 'emploi

- ◆ DK,I,NL,FIN,S,UK

■ exemple NL

- ◆ recrutement par les services utilisateurs
- ◆ accent sur la fonction
- ◆ rémunération fixée contractuellement sur base des compétences et du marché du travail

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5- Évolutions significatives en FP

■ Nature de la relation Employeur-Employé

◆ Statut + Contrat

◆ «Normalisation» des relations du travail

(= alignement progressif sur le droit commun du travail)

- ✦ NL : dès 1984
- ✦ S: développement d'une approche contractuelle dès 1987
- ✦ I: décret sur la «privatisation» du rapport de travail dans la Fonction publique, 1993

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5.2. Évolutions significatives en FP

■ Évolution des effectifs

- ◆ contrôle renforcé et réduction des effectifs
- ◆ croissance des effectifs contractuels
- ◆ recrutements de qualifications plus élevées
(suppression programmée des niveaux D en France
ou 4 en Belgique)
- ◆ croissance progressive du travail à temps partiel
(record S supérieur à 30 %)

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5.3. Évolutions significatives en FP

■ Recrutement

- ◆ rapprochement des pratiques de recrutement sur
descriptions de fonction et profils de compétences
- ◆ pratique courante dans les FP d'emploi
- ◆ exemple du Selor (B) dans une FP de carrière

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5.4.- Évolutions significatives en FP

■ Évaluation du personnel

- | | |
|-------------------------------|--|
| ■ Notation | → Conformisation |
| ■ Évaluation du rendement | → Accroissement de productivité |
| ■ Évaluation des performances | → Contribution aux objectifs de l'Organisation |
| ■ Évaluation des compétences | → Optimisation de l'usage des RH |
| ■ Évaluation du potentiel | → Optimisation prévisionnelle |

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5.5. Évolutions significatives en FP

■ Décentralisation de la GRH

- ◆ décentralisation → responsabilisation
- ◆ décentralisation du recrutement, de l'évaluation, des conditions d'emploi, de la gestion des rémunérations, des relations collectives...
- ◆ décentralisation par secteurs (NL, I)
- ◆ décentralisation Ministères → Agences (UK, S)
- ◆ décentralisation dans les services internes ou extérieurs (NL, FIN, F)

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5.6. Décentralisation de la GRH

Pays	Décision sur effectif total	Décision en matière de recrutement
DK	Décentralisée (sauf hauts fonctionnaires)	Décentralisée (ministères)
F	Centralisée (FIN + FP)	Concours centralisés Décentralisation limitée
I	Centralisée (FP)	Décentralisée (ministères, organismes)
NL	Liberté limitée (ministères et organismes)	Décentralisée (sauf hauts fonctionnaires)
P	Centralisée (FIN)	Décentralisée (ministères, organismes)
S	Décentralisée	Décentralisée (sauf hauts fonctionnaires)

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5.7. Évolutions significatives en FP

- Politique de rémunération
 - ◆ Grille des salaires: grades - ancienneté
 - ◆ Salaires basés sur le contenu des postes (qualification, responsabilités) Type 'HAY'
 - ◆ Prise en compte du marché du travail (DGs FP, La Haye, 1996)
 - ◆ Décentralisation des rémunérations (OCDE, 1997)

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5.8. Décentralisation des salaires

Indice de décentralisation (OCDE, 1997) max.=16

	<i>Avant réforme</i>	<i>Après réforme</i>
D	6	
F	6	7
IRL	10	11
NL	7	11
FIN	8	14
A	6	7
S	8	15
UK	8	16

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5.9. Évolutions significatives en FP

- Flexibilité du temps de travail
- Flexibilité de la rémunération
 - ◆ rémunération à la performance (UK, IRL, NL, FIN)
 - ◆ rémunération fixe + partie variable (primes départementales ou sectorielles)
ex.: I, 1998: 16.4 %var. (managers) ; 7.6 %var. (reste du personnel) Ruffini, 1998
 - ◆ individualisation de la rémunération (S)

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6.1. Conclusions

- Place primordiale de la GRH dans les réformes intervenues
- Valorisation optimale des RH tant pour le personnel que pour la FP
- Évolutions vers des caractéristiques du système de l'emploi, même en système de carrière
- Mise sous contrôle des décisions de long terme (recrutements/salaires/pensions)

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6.2. Conclusions

- Nouveau mandat de la GRH
 - ◆ S'appuyer sur les hommes / connaissances / technologie, pour répondre aux besoins STRATEGIQUES, des USAGERS / CITOYENS, de la QUALITE DE SERVICES:
 - ✦ par des approches GRH nouvelles valorisant le capital RH
 - ✦ par une gestion de l'information GRH accroissant la performance GRH + RH : « e-HRM »
 - ✦ en intégrant la GRH dans un modèle global de gestion de la Qualité

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7. Questions

- **1. Facteurs de Motivation et contractualisation emplois/mandats**

Performance < > satisfaction individuelle ?

- **2. Décentralisation - Subsidiarité managériale**

> perte du sens commun de l'intérêt général ?

> affaiblissement du pilotage central ?



The 8 Fundamental Concepts

Herve Legenvre
EFQM

The Fundamental Concepts



Results Orientation



Developing a balanced set of results
for all stakeholders

Establishing the levels of performance
the organisation wishes to achieve

Customer Focus



Who are our customers ?
(now & in the future)

What are their requirements ?

Do we need to segment them ?

Leadership & Constancy of Purpose



Creating clarity and unity of purpose within the organisation

Developing and promoting an environment in which the organisation and its people can excel

Management by Processes & Facts



Identifying processes (particularly key or core processes)

Measuring performance capabilities (including stakeholder perceptions)

Basing decisions for improvement and strategy and planning on facts

People Development & Involvement



Developing shared values and a culture of trust and empowerment

Encouraging the involvement of everyone

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Continuous Learning, Improvement & Innovation



Management and sharing of knowledge

Creating a culture of continuous learning, innovation and improvement

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Partnership Development



Identifying mutually beneficial Partnerships

Building on trust, sharing of knowledge and integration

Public Responsibility

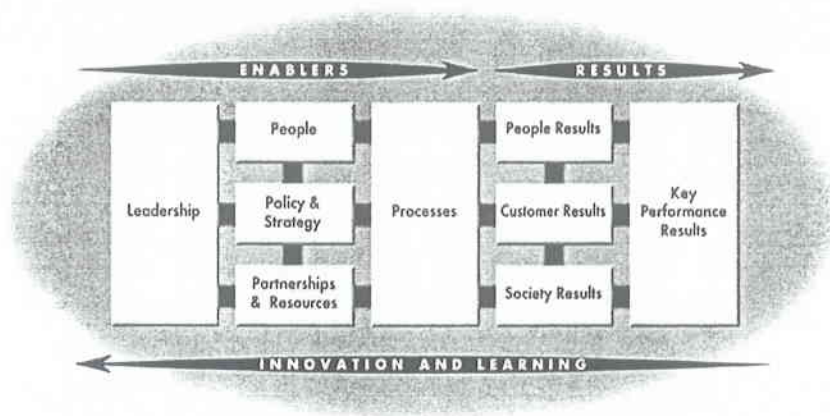


Who are the "Public" for your organisation ?

Adopting an ethical approach and exceeding the expectations

Understanding and complying with regulations of the community at large

The EFQM Excellence Model



La gestion des ressources humaines dans l'administration : nouvelles tendances

Les développements en matière de formation dans les fonctions publiques : vers la formation tout au long de la carrière

par Serge Vallemont

ancien directeur du personnel et des services du ministère français de l'Equipeement

Introduction

Ce que je voudrais dire en introduction, c'est qu'il ne peut y avoir de modernisation réussie de la gestion des ressources humaines, sans qu'une priorité particulière ait été donnée à la formation professionnelle.

La formation est aujourd'hui reconnue comme un moyen stratégique de valorisation des ressources humaines et un des principaux leviers de changement, et c'est sans doute celui sur lequel la marge de manœuvre est la plus importante.

J'ajoute que la place centrale occupée par la formation dans toute politique moderne de G.R.H. n'est pas une spécificité de la fonction publique. On la retrouve dans tous les secteurs de l'économie, où de plus en plus on voit la G.R.H. intégrer totalement les préoccupations stratégiques de l'entreprise et la formation être au cœur de cette nouvelle gestion des ressources humaines.

Dans le contexte de mondialisation des échanges, de crise de l'emploi, d'accélération des mutations technologiques, se former toute la vie, apparaît de plus en plus comme une nécessité pour chacun.

Le concept de formation tout au long de la vie est désormais largement reconnu par les gouvernements dans les pays de l'OCDE, les spécialistes de l'éducation, les employeurs, les syndicats et le public en général, comme principe essentiel de la politique de l'éducation et de la formation. Au cours des dernières années, trois des plus importantes organisations internationales, l'OCDE, l'Union Européenne et l'UNESCO ont publié des rapports capitaux qui affirment ce principe et y souscrivent.

Qu'en est-il dans l'administration obligée comme le secteur privé à améliorer sa qualité, son efficacité, son efficience ? Quels développements a connu la formation et va t'on aussi dans la fonction publique vers une formation tout au long de la carrière ?

Ce sont ces questions que je me propose d'aborder en m'inspirant forcément de ce que je connais le mieux, mon expérience professionnelle d'ancien directeur du personnel d'une administration française importante, celle du ministère de l'Equipeement comprenant un peu

1.2. Une nouvelle conception de la gestion des ressources humaines dans l'administration

Comme on vient de le voir, on a longtemps eu tendance à assimiler la Fonction Personnel à l'accomplissement de tâches administratives, de type bureaucratique. **Réduire à cela la Fonction Personnel revient à lui fixer pour finalité ce qui ne doit être qu'un support.**

Une bonne GRH :

- doit permettre, par une gestion souple qui utilise au mieux les compétences de chacun, d'assurer le service public de la manière la plus efficace et la plus satisfaisante ;
- doit veiller à ce que l'organisation et les modalités de travail prennent en compte les aspirations collectives et individuelles des agents, et leur permettent de trouver dans leur travail des motifs de satisfaction professionnelle et personnelle.

Ces deux missions sont indissociables. L'efficacité des services dépend en effet directement de la motivation du personnel, et le degré de motivation du personnel est lié à la perception qu'il a de la structure : plus la structure apparaît comme dynamique et efficace, plus il est satisfaisant d'y travailler. Les deux objectifs de la Fonction Personnel se renforcent donc mutuellement.

Une bonne GRH :

- intègre a priori le cadre statutaire,
- est multiforme, elle recouvre un ensemble de tâches et d'actions complémentaires,
- anticipe sur les évolutions,
- est une fonction partagée,
- est au cœur du processus de réforme.

La fonction « gestion des ressources humaines » recouvre quatre grands domaines qui peuvent être assez nettement identifiés :

- **l'administration du personnel**, qui constitue le support et la base de la gestion du personnel ; c'est en quelque sorte le cœur du métier de la fonction GRH ;
- **la gestion et le développement des ressources humaines** : elle recouvre tant la gestion collective (suivi et gestion prévisionnelle des emplois et des compétences), que la gestion individuelle : notation et évaluation des agents, formation, mobilité, responsabilisation, valorisation, motivation ;
- **l'organisation du travail et de la vie au travail** : répartition des tâches et des moyens, gestion du temps et des espaces, pratique des délégations, l'amélioration des conditions de travail et le suivi de l'action sociale ;
- **les relations sociales**, tout particulièrement la gestion du paritarisme.

La fonction GRH est une fonction partagée entre les professionnels de la GRH et tous les cadres opérationnels:

- **les professionnels de la GRH** : ce sont les DRH et leurs collaborateurs ; ils ont en charge la définition d'une politique de GRH et le pilotage de la fonction GRH dans toutes ses composantes ; ils assurent ce qui relève de la gestion réglementaire ;

- **les cadres opérationnels** pour lesquels la GRH est une composante du management d'autant plus importante que le cadre occupe des fonctions élevées dans la hiérarchie. Pour le cadre, la GRH de proximité recouvre l'évaluation, le conseil, la formation, l'organisation du travail, la valorisation

1.3. Comment passer de l'administration du personnel à la G.R.H. ?

L'expérience montre la difficulté de passer d'une culture ancrée sur des pratiques anciennes à une conception renouvelée de la fonction GRH. On peut en effet avoir tendance à privilégier l'introduction d'outils, alors que ce ne sont que des instruments qui doivent être mis au service d'une politique.

La démarche que j'ai conduit au ministère de l'Equipeement français à partir de 1980 pour construire progressivement une politique de valorisation des ressources humaines et faire en sorte qu'elle soit appropriée par l'ensemble de cette administration s'est appuyée sur les quatre idées forces suivantes :

1. Le changement des pratiques demandera du temps et de la persévérance : il faut donc inscrire la démarche dans la durée ;
2. En conséquence il faut que les actions développées s'inscrivent dans un cadre cohérent permettant de dégager une vision à moyen terme de ce que doit être une fonction GRH rénovée ;
3. Le rôle dévolu aux syndicats dans l'administration fait qu'ils sont totalement légitimes pour s'impliquer dans la conception d'une nouvelle politique de GRH ;
4. La nature des changements à opérer exige un grand pragmatisme et une grande progressivité qui devront se traduire par des phases d'apprentissage, d'évaluation, de correction, de validation avant généralisation ; le tout accompagné par une politique de communication soutenue.

La première étape a consisté en 1981 à mener une réflexion conjointe administration / syndicats pour définir ce que devaient être **les bonnes pratiques en matière de GRH**. Cette réflexion s'est appuyée sur un bilan critique des pratiques observées et sur l'audition d'un panel de DRH du secteur privé, repérés comme innovants en matière de GRH. Elle s'est conclue par la définition d'une conception élargie de la fonction personnel qui a pris la forme d'une « **charte de la fonction personnel** ». Ce document signé par l'ensemble des partenaires syndicaux a permis , à partir d'une vision partagée de ce que doit être la fonction personnel, d'élaborer un programme d'action. Ce programme d'action assorti de moyens importants a été mis en place dans des délais très brefs crédibilisant ainsi la volonté de l'administration de faire de la nouvelle GRH une de ses priorités pour accompagner sa politique de modernisation.

Ce programme d'action s'est décliné en dix points :

- 1 Professionnaliser les chefs de personnel,
- 2 Valoriser la fonction GRH,
- 3 Mettre en place l'entretien d'évaluation,
- 4 Prendre en compte la GRH dans l'évaluation des cadres,
- 5 Développer une gestion de proximité en déconcentrant la gestion,

- 6 Professionnaliser les concours de recrutement,
- 7 Mettre en place une gestion personnalisée des cadres,
- 8 Développer une politique active de mobilité des cadres,
- 9 **Mettre en place une politique ambitieuse de formation continue,**
- 10 Accompagner le programme de réformes par une politique active de communication

2 – La formation continue au cœur de la nouvelle GRH

La formation et plus généralement, tout ce qui contribue à l'acquisition, au développement et à l'actualisation des compétences des agents tout au long de leur carrière est un levier puissant d'adaptation des personnes aux évolutions de leur environnement professionnel.

Variable d'action essentielle, la formation continue est, en effet, un outil d'adaptation constante des agents aux nouvelles missions qui leur sont confiées, en particulier à l'occasion d'une prise de poste, de changements d'organisation, d'introduction de nouvelles technologies.

Elle constitue également un **outil permanent d'adaptation** à l'évolution des métiers et aux nouvelles compétences exigées des agents pour exercer leurs fonctions.

La formation constitue aussi une préparation naturelle à la **mobilité**, autre instrument puissant d'enrichissement professionnel, par l'acquisition de nouvelles compétences, de nouvelles expériences, par la confrontation avec d'autres milieux professionnels, avec d'autres cultures professionnelles.

Enfin une des particularités de la gestion des ressources humaines dans le secteur public réside dans l'exigence, plus forte qu'ailleurs, d'une **gestion du « patrimoine humain »**. Les flux de départ et d'entrée y sont naturellement , et sauf exception, assez faibles. Ainsi puisqu'il n'est pas possible, par exemple, de recruter massivement sur le marché du travail des compétences nouvelles pour s'adapter aux évolutions qui modifient le contenu des emplois, le secteur public se doit de transformer les compétences existantes, en gérant prioritairement par les stocks et non par les flux. L'adaptation doit donc se faire essentiellement par l'interne ce qui rend la gestion du patrimoine humain particulièrement importante. Dans ces conditions la formation continue prend une importance stratégique.

On le voit, **formation continue et mobilité constituent deux variables clés pour une gestion des ressources humaines performante au service d'une stratégie d'adaptation permanente de l'administration.**

2.1. Mieux former pour mieux moderniser

La formation est à l'évidence au cœur de la modernisation : c'est parce qu'ils auront acquis des qualifications plus larges que les agents pourront s'adapter à des attentes nouvelles du service public et donner à l'organisation une plus grande flexibilité face à un contexte en constante évolution.

C'est l'adaptation professionnelle comprise au sens large qui est attendue de la formation continue.

Dans une période de profondes mutations comme celle que connaissent nos administrations, la formation est l'outil indispensable pour réussir ces mutations. Pour cela elle doit devenir partie intégrante des pratiques des services et se développer en associant les priorités des services et les attentes des agents.

Pendant longtemps les formations-catalogues sont restées la doctrine la plus souvent mise en œuvre par les administrations : sorte de pratique de « libre service », on offre aux agents la possibilité de s'inscrire à tel ou tel stage ou séminaire en fonction de ses motivations personnelles. Cette offre de formation était de plus en plus décalée par rapport à la demande des services et des personnels qui s'exprime non plus en termes de stages, mais en termes de problèmes à résoudre, d'objectifs à atteindre. La formation continue doit être utilisée comme un outil stratégique et ne pas demeurer une affaire individuelle. Aussi est on en train de passer de la formation-catalogue à une formation tournée vers l'action, adaptée aux buts et missions prioritaires d'une réforme qu'elle doit contribuer à faire réussir. Cette formation n'est plus abstraite, elle est finalisée en fonction des métiers que les agents auront à exercer, d'où la nécessaire cohérence entre le plan de formation et la stratégie du service.

Ces évolutions se concrétisent en général par l'élaboration de schémas directeurs de formation continue définissant pour un ministère donné une stratégie de formation cohérente avec sa stratégie de modernisation, précisant les moyens à mettre en œuvre pour atteindre les objectifs fixés et le calendrier des actions à développer.

2.2. Les nouvelles conceptions de la formation continue

- Le cas de l'encadrement supérieur

La nécessité de développer une véritable dynamique de formation continue pour l'encadrement supérieur adaptée aux enjeux actuels du service public se traduit par la volonté d'intégrer cette formation dans un cursus de gestion personnalisé. La formation doit être conçue aux différentes étapes de la carrière du cadre, avec une alternance de formations techniques, qualifiantes intervenant à chaque changement de fonctions, et de formations de « recyclage » sur la gestion et le management public.

De nouvelles modalités de formation se font jour avec le recours à la formation-action débouchant sur la mise en œuvre de projets concrets.

Le fait que la formation continue des cadres supérieurs constitue pour eux un devoir, car ils doivent « montrer l'exemple », doit se traduire concrètement par une obligation de résultats. Ceux-ci seront évalués en termes de performance individuelle et de performance collective au sein du service du cadre.

Ce type de formation pour cadres supérieurs a été mis en place dès 1987 au ministère de l'Équipement, où les stagiaires réalisent à l'issue du cycle supérieur de management un projet qui est une application, en grandeur réelle et dans leur propre service, des acquis de la formation. Ils bénéficient tout au long de la mise en œuvre du projet, d'une aide méthodologique par un tuteur, qui est un professeur du cycle. Des journées d'échange d'expériences entre stagiaires sont organisées à deux reprises : trois mois et six mois après la sortie du cycle.

- **Le développement des formations « prise de poste »** pour accompagner les changements en cours de carrière

- **L'organisation de formations par filières de production** qui permet d'articuler par grand domaine d'activité des formations de haut niveau pour experts et concepteurs, des modules moins spécialisés pour l'information et la qualification des responsables utilisateurs, une sensibilisation à la logique du domaine et une formation aux savoir-faire opérationnels, enfin une formation des formateurs.
- **Les nouveaux outils pour gérer la formation** : Les bonnes pratiques de formation s'incarnent dans un plan de formation annuel qui doit s'élaborer au plus près des problèmes, d'où le développement de plans de formation locaux. Les procédures utilisées pour construire un plan de formation sont l'entretien d'évaluation et l'analyse des documents émanant de la hiérarchie. Une partie de l'entretien annuel d'évaluation doit en effet être consacrée à l'expression de besoins de formation exprimés par l'intéressé en fonction de son projet d'évolution professionnelle. L'analyse des documents émanant de la direction du service suppose que celle-ci ait élaboré un référentiel de compétences dans le cadre d'une démarche de gestion prévisionnelle d'emplois et de compétences. De telles démarches se développent de plus en plus dans l'administration.
- **Faire sortir les modes d'exercice de la formation continue du moule hérité de la formation initiale** : on assiste à un renouvellement substantiel des formes d'exercice de la formation continue donnant une place importante à l'apprentissage par l'action, plus efficace que par la parole et plus proche des réalités professionnelles.

2.3. Articuler le recours à la formation continue et la planification des carrières des cadres : l'exemple de la gestion personnalisée des cadres mise en place par le ministère français de l'Équipement dans le cadre de sa nouvelle politique de gestion des ressources humaines.

Cette gestion repose sur la mise en place d'un cadre de référence composé de trois groupes auxquels correspondent trois modes de gestion.

Le premier groupe concerne des cadres dont l'évaluation de leur potentiel conclut à une carrière dans des postes dits de « premier niveau ». Ils bénéficieront d'une gestion assez proche du système traditionnel de gestion de carrière dans la fonction publique.

Le second groupe concerne des cadres dont la carrière s'oriente dans des fonctions de « second niveau ». Ils font l'objet d'une gestion « personnalisée conseillée ». Celle-ci est confiée à un chargé de mission placé auprès du directeur du personnel. Son rôle, pour les cadres de ce groupe sera de les conseiller et de les orienter dans le choix de leurs postes, pour leur permettre une meilleure gestion de leur carrière.

Le troisième groupe concerne les cadres évalués à haut potentiel pouvant évoluer vers des fonctions de dirigeant. Ceux-ci bénéficient d'une gestion dite « personnalisée dirigée », à peu près équivalente à la gestion des hauts potentiels pratiquée dans certains groupes du secteur privé. Ils adhèrent au principe d'une gestion directive qui les amènera, avec leur accord, à suivre un parcours professionnel leur permettant d'exercer des fonctions dans plusieurs domaines afin de les préparer à l'exercice de responsabilités importantes. Parallèlement, ils auront l'obligation de suivre des formations de haut niveau ciblées sur les fonctions à assurer. La mobilité géographique est de règle. Le suivi de la progression est assuré en continu par le chargé de mission.

Cette gestion personnalisée repose sur un processus d'évaluation « lourd », associant la direction du personnel (le chargé de mission a reçu une formation approfondie à l'évaluation), la hiérarchie (inspection générale et chefs de service) et chaque cadre concerné. Au centre du dispositif, on trouve l'entretien d'évaluation, d'orientation et de conseil mené par le chargé de mission. Celui-ci est précédé, après accord de l'intéressé, par le passage d'un test d'auto-évaluation. L'ensemble de la procédure a été préparée en concertation avec les représentants des personnels concernés.

Conclusion

Comme dans le secteur privé on assiste dans l'administration à une évolution importante de la formation continue de plus en plus intégrée à la gestion des ressources humaines et disposant aujourd'hui d'un statut reconnu au sein d'une G.R.H. mise au service d'un management toujours plus exigeant.

Ses modes d'intervention sont fortement marqués par la recherche constante du professionnalisme et par le souci de se définir au plus près des problèmes.

Les développements que connaît la formation continue depuis une dizaine d'année ne peuvent laisser douter de la tendance lourde qui s'affirme relativisant la distinction courante entre formation initiale et formation continue et débouchant sur la philosophie de base de la formation tout au long de la vie.

Abridged Curriculum Vitae

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1983-1986	Administrator, Dept. of Conscientious Objection, Directorate-General of National Legislation and Institutions, Ministry for the Interior, Brussels (B); frequently with sole responsibility for this department of thirty public servants.

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RECENT PUBLICATIONS

- 1999 **Establishing a Training Institution** for the Albanian Public Administration - An EIPA Consultancy Report by R. Polet and V. Poupart, Sep. 1999, 40 pp.
- 1999 **The Intermediate Level of Government in European States** : Complexity versus Democracy, Edited by T. Larsson, K. Nomden and F. Petiteville. Chapter on Belgium by R. Polet
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- 1999 **Training in European Integration** - Towards cooperation between the European institutions and the administrations of European Union Member States in the area of in-service training for public administration employees and managers
EIPA, Maastricht, 1999, 52 pp. Also available in French and German
- 1996 **Employment in the Public Administrations in the Member States of the EU**. A Comparative assessment of job numbers. A research project carried out on behalf of the European Commission (DG IX). With Koen NOMDEN.
EIPA, Maastricht, Dec. 1996, 100 pp.
- 1996 **Civil Services in the Europe of Fifteen** - Current Situation and Prospects. (With Astrid AUER et Christoph DEMMKE)
EIPA, Maastricht, 240 pp.
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- 1995 **Formation à la gestion et sélection des cadres dirigeants dans l'administration publique des Etats membres de l'Union européenne** - Research carried out on behalf of the Belgian Government.
EIPA, Maastricht, 100 pp.
- 1991 **A Cyprus Academy of Public Administration** - Report of a Consultancy mission carried out in 1990-1991 under the leadership of Prof. Aymé FRANÇOIS, with N. DUBOIS.
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- 1976-1977** Conducted a Study on Manpower Development in the Arab World for the Arab Fund for Economic and Social Development, Kuwait. (Jointly with Dr. Yousif Sayigh).
- 1976** Conducted an Administrative Reform Study of the Public Administration of the United Arab Emirates.
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- 1974** Head of an AUB Team that Designed and Conducted a Training Program for Middle and Upper Level Civil Servants in the State of Bahrain.
- 1972-1973** Head of a Team that Conducted a Reorganization Study of the Government Machinery of the Wilaya of Setif, Algeria.
- 1971-1972** Visiting Research Fellow, Center for Middle Eastern Studies, Harvard University.
- 1969-1972** Member Lebanese Planning and Development Council, Ministry of National Planning, Lebanon.
- 1966-1968** President, Lebanese Political Science Association.
- 1966** Conducted a Reorganization Study of the Central Organization and Methods Office of the Lebanese Government.
- 1959** Member, Administrative Reform Committee, Ministry of Finance, Lebanon.
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CODES OF CONDUCT

IN SEARCH OF NEW ETHICS FOR PUBLIC SERVANTS

By

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Beirut, October 2001

CODES OF CONDUCT :

IN SEARCH OF NEW ETHICS FOR PUBLIC SERVANTS

BY

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During the last decade, society and public service have experienced important new trends. These developments have important consequences concerning the ethics of public servants. Ethics in government and the public service have become an important issue and a high priority in many countries across the globe.

The focus on ethics in the public sector is a response to wide-spread evidence of declining public confidence in government, a decline fuelled by concerns about the integrity and standards of behaviour of public officials. What is clear is that public confidence has been severely dented by mis-government, mal-administration, corruption and wrong-doing. And without the confidence of the public, democracy cannot work.

Civil service ethics is an instrument promoting the *value of responsiveness*. Ethics is one of the important checks and balances against the arbitrary use of public power. It is a vital factor in creating and maintaining trust and confidence in government and its institutions. As such, it is a key factor in the quality of governance.

It is difficult to conceptualise what constitutes a *public service "ethos"* – the established line has been a sense of what is just, right, good and proper. Public ethos was the subject of great concern for various philosophers since classical antiquity (e.g. Socrates, Plato, Aristotle etc).

Public sector ethos has evolved around the basis that it is good to have officials who are committed to certain ethics. It justifies and legitimises their behaviour. In that sense, the ethos is not simply a chimera. The central element of the public service ethos is that it is a system which protects officials and public service.

The public service ethos is not a neutral set of values concerned with the public good, but an ideology aimed at protecting a particular concept of the Civil Service.

The core of the public service ethos is built on two separate, but linked, ideas : *the political neutrality* of public officials and their *pecuniary and moral integrity*. The public service ethos is built round a notion of integrity which is personal (not open to corruption), political (officials serve their ministers) and financial (they are not there to make money).

Civil servants' ethics are based on the notion of integrity, objectivity and neutrality. It is this notional approach which is the basis of their power. Ethos governs behaviour and officials remain more than capable of performing their role as gate-keepers of the common good.

The basis of the public sector ethos is *idealistic not utilitarian* and officials subsume private interests to the State. These two ideologies are based on contrasting *altruistic and egoistic actors*. However, the problem of the public sector ethos is that it is a fragile structure. It is built on a set of interlinked concepts : *neutrality, integrity, self-regulation and self-control* and *non-pecuniary public service*. Without neutrality it is difficult to maintain integrity. Without integrity there cannot be self-discipline. Whilst pecuniary interests, more broadly, raise questions of neutrality, integrity and self-regulation.

The traditional ethics of public service are outdated. The question, however, is : what kind of new ethics ? Which values to guide the behaviour of public servants in the future and how might these values be operationalised in practice ?

In the literature on the subject, some new values for the public servants can be found :

- a) First of all, there is the value of *responsibility*. Public servants are expected to behave in a responsible way. This means that they take their role as a public servant seriously and are aware of the consequences of their behaviour.

- b) A second important value is *transparency* – i.e. *openness and service towards the public*. Public servants are to serve the public, not vice versa. They must do all they can to inform and help the public, to provide an optimal service.
- c) Thirdly, there is the value of *integrity*. This means that the general interest and not personal interest must determine the public servants' behaviour.

The development of the new ethics of public servants is supported by changes in the organisation culture: new values are introduced ; codes of conduct are being written.

It is useful to think of the various mechanisms that can be used to re-inforce ethics in terms of an ethics infra-structure. The infra-structure comprises the different elements that define public sector ethics, encourage and maintain high standards of conduct. An « *Ethics Infra-structure* » may be defined as including the following elements : political commitment ; an effective legal framework ; efficient accountability mechanisms ; workable codes of conduct ; professional socialisation mechanisms (including training) ; the existence of some ethics co-ordinating body; and an active civil society (including media). The effectiveness of the ethics infra-structure (and in our case of a code of conduct) depends on whether it is operationalised, understood and applied consistently.

Different countries will find their own ways of combining and balancing the various elements of the infra-structure. There is a wide range of tools against undesirable conduct. However, various measures are unlikely to be effective by themselves. A package of actions is necessary. The development of public ethos has been an imperative in contemporary administrations. In this context, ethics have been elevated as an integral part of all attempts to reform and modernise public administration.

The purpose of a formal ethical code is to compile some evidence of the various elements of what constitutes a public service ethos. Generally, there are seven principles in public life : selflessness, integrity, objectivity, accountability, openness (transparency), honesty and leadership (Ref. in U.K. Nolan Committee's First Report on Standards in Public Life,1996). This set of principles has been shaped and underpinned by a framework of ethics- the ethical framework within which civil servants develop integrity in

their work. However, ethics are not just about establishing a set of ethical rules or a code of conduct. They are an on-going management process.

An increasing number of countries have responded by clarifying the basic values that public servants are expected to espouse and setting broad guidelines for conduct- through *civil service codes of conduct / ethics*, as, for example, in U.K., Australia, New Zealand, Italy, Greece, Portugal, Spain, Norway, Mexico etc. In some countries (for example, Australia and New Zealand) there is a trend to supplement *service-wide codes* with *specific codes or guidelines* developed by individual departments and agencies, while in others (for example, Norway) the trend is to encourage the development of codes or guidelines by individual agencies rather than aiming for a service-wide code.

Recently, a Draft Code of Conduct for the Lebanese Civil Servants has been drafted by the European Consultancy Team for the Re-habilitation of the Lebanese Public Administration and submitted to H.E. Minister of State for Administrative Reform Fouad El-Saad.

It is noteworthy that governments evidently see a need to set out more explicitly common standards of behaviour expected of public servants. This can be interpreted on the one hand as a visible response to public concerns about public sector ethics. It is also an acknowledgement that the more complex public sector management environment calls for clearer guidance for public servants and that is no longer sufficient to rely on public servants knowing the law and absorbing the professional norms.

A Code of Conduct cannot be seen as a *binding legal document* outlining the duties and responsibilities of civil servants. These types of “*aspirational*” codes are intended to convey the highest ideals and aspirations of the profession of civil servant without being enforceable. They provide civil servants with a role as defenders of the “common good” and guardians of the “public interest”. On the other hand, as part of a wide-ranging campaign against corruption, the promulgation of a simple and easy-to-understand code of conduct may be a useful step. Ethics codes are also effective in reinforcing administrative professionalism.

Similarly, Codes of Conduct involve ethical socialisation into the norms, values and professional responsibilities of the civil service. Many new recruits enter public service unprepared or unaccustomed to the ethical obligations of the public sector. *Socialisation into the ethics* of the public service must take place as new people enter the public realm, orienting and making them aware of the special nature of public service specific values and why these values are essential to the successful functioning of a democratic government and administration. Socialisation into the ethics is a crucial element in achieving the necessary standards of conduct and developing the spirit of professionalism.

The adoption of a formal *Code of Conduct for Civil Servants* is an essential instrument in the process of establishing effective, transparent, responsive, service-oriented and citizen-focused public administration. The Code, *being of a moral nature*, forms a synthesis of professional behaviour, a model for day-to-day activity and self-discipline. It is *a deontological guide* which appeals to the highest level of individual conscience ; ethical duties transcend mere legal obligations. The latter are normally contained in civil service laws or left to legal dispositions and disciplinary incidences. It is generally believed that such *a non-normative written document* will have a significant educational impact on civil servants, will strengthen the ethical base of the public service as well as the faith and confidence of the people in the government and the public administration.

Apart from the need to re-examine and uphold public service values, there are two additional guiding principles: first, the conviction that inducement is better than repression, insofar as it is easier to educate than to punish; and second, the conviction that a set of very simple, straightforward and non-legally-binding standards would be easier for public servants – and the public at large – to understand. The idea that the existence of a set of repressive disciplinary rules was enough to prevent unethical behaviour had become outdated. Accordingly, while continuing to let the threat of punishment play its role, there is a positive affirmation of desirable conduct, exploiting the advantages of a non-normative document.

A Code of Conduct sets out high moral and ethical standards of conduct that the civil servants are expected to uphold. The achievement and maintenance of high standards of professional integrity, probity and impartiality by civil

servants are essential to ensure that all government tasks are performed as required. A code of conduct is expected to uphold the honour and reputation of civil servants, so as to encourage respect among the general public. Moreover, a code for the guidance of public officials will help them avoid conflicts between their personal interests and their public responsibilities. The upgrading of the ethical requirements will contribute to a greater efficiency and credibility in public administration and prestige for civil servants.

The Public Service Code of Conduct focuses on the professional relationships that public servants establish in *three domains*: (a) within the public administration itself, with their colleagues, subordinates and superiors; (b) with the citizens, including society in general and particularly those with whom they deal directly; and lastly (c) with the political leadership whom public servants assist by carrying out the policy options that those leaders define. The Code seeks to reinforce and to highlight fundamental values and shows specifically how to apply them to each of these domains.

As mentioned above, a Code of Conduct is not designed as an enforceable legal document. Despite its value-neutral appearance, the contribution of such a code to the continuing development of public administration is widely recognised. There has been a lot of discussion whether the codes of conduct really “work” or are just “nice to have” documents...nothing more nothing less. A number of questions are often asked :

- To what extent a code of ethics promotes responsible conduct ?
- What are the experiences with codes of conduct ? How has this influenced the behaviour of public servants ?
- Is there a difference between ethics of civil servants and ethics of politicians ?
- To what extent are the ethics of civil servants contingent to functions, organisational setting and environment ?
- What are the mechanisms to improve ethical responsible conduct ?
- Is a code of conduct a response to fears or evidence of increasing corruption ?

However, a Code of Conduct must not be seen as “a cynical exercise on paper”; such a code is neither of a Platonic nature or a rhetorical device. The experience- in Europe and elsewhere- suggest that the Code of Conduct is one of many methods of obtaining ethical conduct from public functionaries, and has indeed beneficial effects on improving the service quality and efficiency and increasing citizen’s satisfaction.

Finally, it must be borne in mind that there is a political message to be read between every line of the Codes of Conduct articulating major promises about citizenship, ethics and democracy.

**ADMINISTRATIVE MODERNISATION
AND
EFFICIENCY CONTROLS
IN
PUBLIC ADMINISTRATION**

**By
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Beirut, October 2001

ADMINISTRATIVE MODERNISATION AND EFFICIENCY CONTROLS IN PUBLIC ADMINISTRATION

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1. Introduction

At the threshold of the third millennium, all the European states (and not only them) design their strategy in the public sector and draw up action plans for the **modernisation** and the renewal of the Public Administration. "**Modernisation**" on the one hand, in the concept of improvement of the existing status in public administration, and "renewal" on the other, by the introduction of new forms and systems of administrative action.

The globalisation of the economy, the broadening of the **competitive framework** (even inside the E.U. area) and the **internationalisation** of the state activities (by the increase of the international dependence in the taking decisions) requires the formation of a **national** strategy in the sector of Public Administration. However, the modernisation of the state mechanism is not (and should not be) **an end by itself**. It is though the **nodal factor** for the implementation of the objects of the economic and social development.

The cosmogony which is in progress today in the public sector has no boundaries. The revision of the state action limits is given everywhere. There is no alternative orientation any more. However, strategy and a "**programme-framework**" is required for the modernisation of the Public Administration. The Public Administration is, for years now, in many countries, in the whirlpool of a strange crisis. It is in an "entropy" condition - there is a blur. The vicious circle of the administrative reforms must stop. The half measures are not sufficient. Drastic actions, radical decisions, structural substantial changes are required, which to really touch the problem of Public Administration.

In many other countries, a **serious effort is made for the reorganisation of the Public Administration**. However, the fruits of this effort have no immediate or even spectacular results. The work of the entire reformatory effort is mainly connected with the restructuring and the renewal of the public sector and the most rational function thereof, in order to end up to a public administration more efficient, more effective, more productive. A public administration that will meet the needs of economic and social development of the country and also the quality of services that the citizen expects from the state.

Still, a strategic component of the entire modernisation effort is, without doubt - and this has now become a consciousness at global scale - the development on the one hand of control mechanisms of the administrative action and the establishment on the other hand of modern systems for performance measurement and efficiency evaluation, as well as the setting up of quality control criteria for the services rendered by the state.

In most countries, central control institutions are gradually trying to broaden their role, their functions and their working methods without letting go of the core of formal control which constitutes their “raison d’être”. So, we find a broad movement from controls of legality and procedural compliance to evaluation.

Control criteria are changing and control requirements are moving from the traditional control of legality, transparency and compliance with administrative procedures to the direction of broader concerns - like improving the quality of administrative work through efficiency scrutinies and management controls. However, no countries are leaving formal controls (legality / procedural controls) and in some countries where problems of corruption and other irregularities are still endemic necessarily lead to a strengthening of those controls.

2. Development of a Strategic Framework

A natural starting point for a Central or General Inspectorate in the sphere of strategy is to set up the broad framework and a comprehensive vision that sum up a series of goals, strategies and performance targets. This framework for change and improvement will focus on a set of strategies that aim at fine-tuning the Central Inspectorate to thrive in the face of the envisaged changes in a country’s administrative environment. A logic that has been developed in most controlling bodies around the world can be summarised as follows :

a) **Vision** : A Central Inspection will be a professional institution working in specialised units carrying out homogeneous and high-quality inspections with a view to :

- Furthering efficient governmental administration ;
- Promoting answerable, honest and productive government that reflects a commitment to sustainable administrative development.

b) **Mission** : The mission of a Central Inspection will be to :

- Conduct independent inspections and controls that provide objective information, advice and assurance to the Government ;
- Stimulate advances in accountability concepts and improve accountability practices in government operations ;
- Secure the smooth and effective functioning of the administration.

c) **Objectives** : The key objectives of the Central Inspection's work will be, as follows:

- To consolidate a result-oriented public administration.

The Central Inspection's principal objective is to contribute dynamically to the transformation of the current bureaucratic model of administration into an efficient "result-oriented" public administration, which will be able over time to meet the needs of the public sector, the structural changes taking place in the economy and the ever increasing demands and requirements of the Public.

- To promote the effectiveness of administrative action and enhance the efficiency and productivity in the public service ;

The greatest possible efficiency and productivity of the public services and the maximisation of the employee performance constitute a major priority for a Central Inspection.

- To improve the quality and scale of services provided by public administration;

A Central Inspection aims at the qualitative upgrading of the functions and procedures of public administration, on the basis of inspection standards, evaluation criteria and best practices.

- To economise the operations of public administration;

The aim is for more effective administrative action, the maximum possible results, lower administrative costs and reduction of wasted resources.

- To protect the principles of legality and integrity and deter fraud and dishonesty;

- To safeguard transparency in the workings of public administration.

- To assess the quality of the work produced, identify problematic or counterproductive areas in public administration, specify problems and blockages and recommend feasible and realistic solutions for remedies;

- Finally, a major objective of a Central Inspection institution is to become a factor of change in the effort to modernise public administration : (a) by participating in the various administrative reform programmes, and (b) by linking inspection findings with the designing of administrative reform programmes.

d) **Guiding Principles** : The following principles should guide a Central Inspection institution in achieving its mission :

- Serving the public interest to achieve a positive impact for the benefit of the people;
- Caring about and treating people fairly;

- Commitment to excellence by developing a relationship of respect and trust with the public services and the citizens;
- Contributing to the advancement of the legislative and regulatory discipline;
- Being cost-conscious by making the best use of resources and minimising costs without compromising quality or service;
- Promoting the use of innovative thinking, evaluative techniques and state-of-the-art technology to continuously improve the quality of controls.

3. The Nature and Types of Controls¹

It is a common place in all French-inspired countries to be adhered to a very French concept of the government administration which cultivates a formal respect for legal rules. Thus the inspectorship's role in terms of mission basically involves a supervisory and interrogative view. Inspection and controls are mainly performed on the basis of the regulatory conformity (le contrôle de conformité).²

A first examination of the activities in a number of central inspection institutions around the world leads to the conclusion that these control agencies have put over the years more emphasis on inspections aiming at revealing cases of illegality and law-breaking by the employees. Most of their resources are allocated to legality controls. This clearly identifiable role does not correspond with the true needs of a modern central control institution.

Of course, the supervisory role of the central inspectorates is the cornerstone of their mission. The objective is to uncover legal irregularities and discomfit unscrupulous civil servants. It is clear that the origin of these controls is based on the respect for the rule of law.

It is nonetheless true that the strict supervision of legality cannot and should not be the only activity of the inspectorates. It is still true that at times like these, notable for the temptations of "easy money", the supervisory mission and legality controls must remain one of the foundations of the job of the inspector³.

However, all central inspectorates now pride themselves that their missions take on a new dimension and a strategic importance. Their tasks have been systematically widened involving efficiency and effectiveness controls.

¹ The word "control" is mainly used as a generic term. Theorists and subject-matter authors in the field are not in an agreement regarding the used terminology. In actual practice, the words "control", "inspection", "audit", "investigation" are often used interchangeably. For example, the word "control" is derived from the French "contre role" with a view of double-checking ; "inspection" is based on the on-site personal observation; "audit" is derived either from the Latin word "audire" (to hear) or the English word "to audit" (to check). Inspection may be contrasted with "investigation", where the latter indicates the ferreting out of hidden information.

² See " About French Administration " (The View of the General Inspectorates), p. 159, *La Documentation française*- Paris, 1998.

³ Ibid. p. 161.

The Central Inspections will achieve their mission by conducting controls in the broad sense of the term, having the twofold objective of contributing to the renewal and improvement of public administration on the one hand, and identifying cases of mal-administration, procedural irregularities, incompetence, low productivity and poor quality of services on the other.

Inter alia, a Central Inspection shall :

- check that administrative action conforms with the law and the stipulation of formal procedure, and ascertain any cases of infringement, illegality or irregularity;
- identify and rectify operational problems in public administration and investigate factors that have an adverse effect on administration, the management of resources, the efficiency and effectiveness of operations and the quality of services provided;
- control the organisation and operation, the work-flow and the procedures followed, with a view to improving the services offered to the public and observing the criteria of economic and effective administration; and
- control the cases of mal-administration. Mal-administration includes cases of abuse of power, bad administration, illegal procedures, arbitrariness, violation of the principle of equality, negligence or refusal to offer services, opaque procedures, failure to enforce court decisions, and other omissions and defective performance of administration.

The specific aspects of the multifarious work of a modern Central Inspection institution shall include :

- a) **Inspections**, based on the on-site inspection/investigation and personal observation in order for the inspector to form an opinion and collect first-hand information concerning the good functioning of the civil service department or the specific department's division undergoing control;
- b) **Controls**, aiming at examining the working of structures, individuals, situations, actions and procedures;
- c) **Researches or surveys**, including the careful study of organisations, programmes or situations, for the identification of sources of administrative pathology; structural analysis and prioritisation of problems; and recommended solutions, based on scientific documentation, modern techniques and tailor-made research procedures.
- d) **Counselling**. Regarding a future mission of a Central Inspection, advice shall be an issue of paramount importance. Advice is close to inspection in its practicalities. It is not a question of finding faults with an individual or a service, but cooperating to seek a solution to their difficulties without emphasizing the weaknesses of individuals or the system. Counselling activities involve giving advice to the Administration and rather drawing the attention of the responsible employees to the weaknesses and strengths and helping to correct any deviations.

4. The new inspection philosophy

Selection of the appropriate method or type of inspection is based on the nature of the task and the intended results. The general trend and cosmopolitan orientation for all central inspectorates now is to move from traditional inspection and carry out performance audits. But what does “performance audit” mean? To some degree, there are confusions about the nature and primary goals of performance audit among the authors in the academic literature. From another point of view, performance audits are conducted by both external audit institutions (Courts of Accounts, National Audit Offices, Offices of the Auditor-General) and internal control bodies (Central Inspections, Inspectors-General, Inspectors of Finance etc.)⁴.

Performance audit differs substantially from traditional inspection and control. Traditional inspection is characterised in terms of conformity with laws and rules, compliance accountability, verification of information, finding of mismatches and discrepancies between actual practice and general norms and inferring consequences. But also identifying cases of mal-administration.

On the other hand, a performance audit is to evaluate aspects of the organisation under review, requires a scrutiny, exercises judgement about whether or not organisational practices are optimised and aligned with goals, such as the efficient utilisation of resources and the effective targeting of client groups. Performance auditors therefore exercise instrumental judgment. Performance audit is an evaluative activity. By contrast, the dominant role of the traditional inspector is verification not evaluation.⁵ The chief function of a modern inspection involves a scrutiny how well the organisational unit under review is functioning with regard to efficiency and effectiveness.

A clear distinction should also be made between the performance measurement systems and the various types of “inspection”. Performance measurement is an evaluative activity through a chain of processes (inputs- processes- outputs- outcomes/results).

The principal goal of performance measurement is conformity with performance quality standards and evaluation whether inputs (such as personnel, equipment, materials, money) are being transformed into outputs and results (that is the effects of the outputs) in an optimal way, especially with regard to costs. In this process-oriented schema, economy means eliminating waste of inputs, efficiency means achieving an optimal process for transforming inputs into outputs, and effectiveness means achieving or improving outcomes /results through the delivery of the outputs.

Performance measures are systematic quantitative and qualitative assessments over time of what an organisation is doing, how well it is doing it, and what the effects of its activities are. Performance measures constitute performance standards or indicators, benchmarked against comparable public or private organisations, “ which are used in

⁴ The French general inspectorates in some cases also conduct performance audits (See “ Performance Auditing and the Modernisation of Government”, p.51, OECD-PUMA, Paris, 1996).

⁵ See “ Performance Auditing and the Modernisation of Government “, OECD-PUMA, pp. 17-19, Paris, 1996.

accounting for past activities, managing current operations and assessing progress towards planned objectives" (U.S.A. General Accounting Office, May 1992).

The various types of inspection cannot be considered performance measurement by reference to certain quality standards/ benchmarks or performance audit related to financial auditing. The most widespread type of inspection today is the so-called "efficiency scrutiny". The Central Inspections should expand their mandate and broaden their mission to undertake and develop a system for these types of scrutinies to improve the quality of service and promote the effectiveness of public administration through corrective measures.

The prevailing today in many Central Inspections assessment of legality model, that is to say an assessment or control limited to checking whether the acts conform to current laws, is a necessary condition, but insufficient. An inspection of the activity of public administrations cannot be limited to the traditional concept of conforming to the law and the application of the letter of the law, but must be extended, as shown by experience in many countries, to an assessment of results according to the principle of efficacy and efficiency. The concentration of attention on administrative efficacy/efficiency means a radical change in the approach to inspections: no longer centred only on legality controls, but also on internal assessment of the " level of efficiency" of the administration.

Widespread acceptance that the traditional legality control model must be replaced or complemented is the most pressing need to make the public sector more efficient. An assessment of efficiency consists of a report that verifies and explains all the main points (errors, irregularity, illegality, disorganisation, overlapping of responsibility, procedural complexity, inconsistency between results and pre-set objectives, poor delivery of services in terms of delivery time or delivery place, lack of personnel etc.), and where causes are analysed and corrective measures are suggested to prevent a repeat of the problems and in any case to improve the efficiency of administrative action. The purpose of this new model, based on efficiency scrutinies, is to inform the administrations of problems identified within the organisational unit and make suggestions for improvements.

Responsibility for the implementation of scrutiny recommendations is placed firmly and squarely with departmental managers and scrutiny liaison officers. It should be clear that a Central Inspection highlights the problems in areas e.g. organisation structures, operational procedures, staffing etc. and transfers its recommendations directly to the concerned central agency and the concerned administration in order to be implemented.

Follow up reviews by the Central Inspection institution will reveal the success of a scrutiny implementation. The general procedure is to check that the recommendations have been implemented on time and ensure that improvements were achieved or that the implemented recommendations had solved underlying problem.

5. Types of Inspection

In view of the above defined concepts, a modern Central Inspectorate can play its multidisciplinary role, fulfill its mission, meet expectations and make a difference from old-practices by performing the following types of inspection :

(1) Efficiency Scrutinies, aiming at the objective and systematic review of structures, functions, internal procedures, organisational environment, clients' satisfaction and the quality of service delivery within a civil service unit, with a view to improving its efficiency through the optimisation of actions, procedures and quality of services. The scrutiny technique is a method of identifying better ways of achieving better results and improvements in effectiveness and performance in government departments. Emphasis is placed on improving the quality of public services; how efficiently and effectively departments are discharging their functions.

The purpose of scrutinies is :

Firstly- to examine a policy, an activity or a function with a view to making savings or increasing effectiveness, by asking questions such as :

Why is the problem happening or why is this work done at all ? Why is it done as it is ? Could it be done in a different way ? Who is responsible for the work ? Are lines of accountability and personal responsibility clear ?

Secondly- to propose solutions to identified problems, by asking :

What is the scope for simplification ? For reducing duplication ? For combining functions ? For ceasing some work altogether ? What steps are needed to strengthen the process ?

Finally- to implement the agreed solutions, by developing a prioritised improvement action plan with agreed milestones, by asking :

How are decisions made and turned into action ? Are they made by the right people ? How progress on implementation is monitored ? How are the results assessed ?

The key elements of the scrutiny technique are radical questioning, direct observation, proposals based firmly on factual evidence. Using core inspection criteria, the scrutiny must be realistic and decisions must follow rapidly to deliver results. The scrutiny process should start with statement which sets out:

- The people involved;
- The aim of scrutiny;
- The terms of reference;
- The timetable of the scrutiny report;
- The target date for the implementation of scrutiny recommendations within agreed time-tables.

The scrutiny findings and recommendations of the Central Inspectorate shall be transferred to the concerned administrations or agencies to be implemented.

(2) **Legality Controls**, designed to control the actions of public administration with regard to the correct interpretation and implementation of laws, rules and regulations. The purpose of this control is to verify the compliance of public organisations and employees with the legal requirements governing their organisation, operation and action in general, and emanates from the principles of legality, protection of those affected by the administrative action and best possible service of public interest. This type of control may also incorporate compliance with procedures, and transparency in the workings of the administration.

The above legality controls also include **mal-administration**: fraud, bribery, bias (because of colour, sex, religion, ethnic grounds etc.), neglect, undue delay, incompetence, turpitude, arbitrariness and so on.

(3) **Better Regulation Controls**, reviewing the quality and sufficiency of rules and regulations in a specific sector and the impact and effects of regulation on the administration and the users.

(4) **Best Practice Horizontal Controls**. An increasingly familiar type of inspection is the so-called "best practice review" or "horizontal controls". These controls are performed simultaneously in various public organisations whose activities are similar or identical. The object of inspection/review is typically a function performed in a large number of organisations; they comprise, in particular, controls on the basis of on-the-spot checks for identifying those organisations that have achieved exceptional performance (high-performers) in a selected function or a particular task (theme-controls), analysis of practices leading to such excellent results and the formulation of sector-specific "standards" for other similar cases in the sector.

(5) **Programme Effectiveness Controls**, where action programmes, plans or projects undertaken by public organisations are examined and evaluated (programme design- programme operation/implementation- programme effectiveness). Such a mode of inspection is an overall appraisal and interpretation of the programme effectiveness. Among other things, it is investigated whether the tasks are solved in the best possible manner, and whether they comply with the programme operational objectives. This type of inspection may follow, or be conducted in parallel with, the evaluation of the programme by the agency whose responsibility is to carry out the programme.

(6) **Performance Management Capacity Controls**. Such an inspection involves an assessment whether an organisation has the capacity to manage its tasks and responsibilities, implement its policy mandates and achieve generic goals of efficiency and effectiveness.

(7) **Inter-ministries Controls** need not cover every ministry, but may be restricted to a group of ministries with similar organisational, managerial or procedural problems.

(8) **Specific-controls**, aiming to clarify a specific problem or question at a particular public institution.

(9) **Follow-up Controls** are performed in order to review the measures taken by the public organisations in response to previous controls, findings and recommendations, assess the progress made and the results achieved on the basis of these actions. Follow-up controls may involve inspections (have measures been taken ?) or assessments (are the measures taken satisfactory ?).

6. Epilogue

The controlling intervention of a Central Inspectorate for Public Administration has to be essential. The enactment of the controls has as a broader objective the evaluation of the activity of the services as regards the efficiency and the effectiveness, as well as the assessment of the work produced. Of course, a central inspection body is not the "deus ex machina", that will magically solve the many problems which torment for years public administrations. Yet, it may - and this is the role thereof - pin-point the problematic or counterproductive areas in the public administration, write down the dysfunctions of the administrative action and the pathogenic causes, set forth and analyse the problems and suggest appropriate and mainly realistic, expedient and viable solutions for their facing.

In this effort thereof, the central inspection institutions require the unreserved assistance of all the agents of the Public Administration. It is absolutely necessary to gain the trust of the Administration as well as of the citizens and the mass media, to establish a relation of reliable and trustworthy co-operation, to ensure the authority, the good reputation and their development perspective. These controlling institutions should become the "most welcome participant" in the procedures which are in progress today in many countries for the modernisation, the renewal and the qualitative upgrading of the Public Administration. In this way, Central Inspectorates shall have accomplished their institutional and statutory mission.