

Guidebook on Organisational Assessment

Framework and
Tools

**Australian
Aid** 

PAHRODF
PHILIPPINES AUSTRALIA
HUMAN RESOURCE AND
ORGANISATIONAL DEVELOPMENT
FACILITY



When you know better,
you do better.

Maya Angelou
Poet and Civil Rights Activist

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Message from the Australian Embassy Philippines



The Australian Government is pleased to be associated with the development of this Guidebook on Organisational Assessment (OA) prepared under the auspices of our Philippines Australia Human Resource and Organisational Development Facility (PAHRODF).

Now in its fifth year, PAHRODF delivers human resource and organisational development interventions to Philippine government agencies. We laud our partners who are committed to meeting the challenges of reforming systems and processes, and are now benefitting from improved human resource management and organisational development practices.

We also acknowledge the leadership and strategic vision of the Civil Service Commission, the National Economic Development Authority, and the Department of Budget and Management. These agencies have played a leading role in shaping the program's strategic direction and providing oversight of its operations.

A critical factor in the success of PAHRODF is its emphasis on building the readiness of our partner agencies to cope with change predicated on a robust organisational assessment. We hope that this Guidebook serves not only as a resource, but as an approach to improve the competencies and processes of organisations within and outside the public sector.

Organisational assessments ensure that capacity building investments are focused on priority performance areas, which are of importance to organisational objectives.

We hope that public sector managers and private sector practitioners find the Guidebook useful in leading the way towards more effective and efficient organisations.

On behalf of the Australian Government, my congratulations on a job well done.

Bill Tweddell
Australian Ambassador to the Philippines

About Australia's Aid Program in the Philippines

WHY WE GIVE AID

The Philippines is buoyed by economic growth, yet more than 42 million Filipinos survive on less than \$2 a day. Helping the Philippines to tackle poverty will contribute to prosperity for our near neighbour, and build greater security for our region.

Australia can make a difference. By targeting our programs, aligning our work with the development goals of the Philippine Government and focusing on poverty reduction, Australian aid can make a difference in the lives of ordinary Filipinos.

HOW WE GIVE AID

The Australia – Philippines Aid Program Strategy (2012-2017) focuses on education, local government service delivery, disaster risk management and climate change adaptation, peace building, and good governance. Australia will work with the Philippines in a relationship of mutual trust, recognition and accountability to achieve improvements in these areas. Our key partners are the World Bank, Asian Development Bank, United Nations agencies, civil society organisations and Australian agencies such as the Australian Centre for International Agricultural Research and Geoscience Australia.

IMPROVING EDUCATION

Education is top priority for Australian aid in the Philippines – this aligns with the high priority the Philippine government is giving to education reform. Our programs help children get an education and stay in school. When school leavers graduate, they will be better equipped for tertiary study or starting a job. By 2017, Australian aid will have built 7500 classrooms, trained 40000 teachers and helped improve the education curriculum to meet the demands of the expanding education system.

ENHANCING THE FOUNDATIONS FOR SUSTAINED ECONOMIC GROWTH

The Australian Government works with the Philippine Government in identifying and addressing binding constraints to growth. It supports public-private partnerships to fund priority infrastructure projects, and builds stronger foundations for local economic development. This is in line with the overall goal of promoting prosperity, reducing poverty, and enhancing political stability.

STRENGTHENING DISASTER RISK MANAGEMENT

The Philippines is the third most vulnerable country to natural disasters. When earthquakes, volcanoes and severe typhoons occur, the poor are the worst affected. Australia is partnering with the Philippines to ensure communities are better prepared for natural disasters. By 2017, detailed risk maps will be produced to prevent urban development in hazard areas.

IMPROVING CONDITIONS FOR PEACE AND SECURITY

Decades of conflict have resulted in the development of Mindanao in southern Philippines, slipping behind. Poverty, a lack of basic education and weak governance are ongoing problems in conflict – affected areas. Our programs introduce education in remote communities and provide new opportunities for youth involved with armed groups. We will help the Philippines conduct credible and legitimate elections and improve its accountability to citizens in Mindanao.

SUPPORTING THE FOUNDATIONS FOR ACCOUNTABLE, TRANSPARENT AND EFFECTIVE GOVERNANCE

Improving the quality of governance in the Philippines is fundamental to the country's development prospects. Australian aid is providing practical support to the Philippine government by helping build a modern public financial management system. We are also helping enhance the skills and expertise of the public service workforce and are helping build stronger government institutions. Our program establishes partnerships with civil society organisations to help advocate for governance and reforms.

About PAHRODF

The Philippines Australia Human Resource and Organisational Development Facility (PAHRODF) is a five-year (2010-2015) program of the Australian Government tasked to support the Australian Government's initiatives under the Australian-Philippines Development Program Statement of Commitment.

In support of the Statement of Commitment's goal and objectives, PAHRODF provides human resource development and institutional strengthening support to targeted national and local government agencies that play a key role in promoting educational reforms, enhancing foundations for economic growth, building better disaster preparedness capabilities, and improving the conditions for peace and security.

It is recognised that for Australian aid to have meaningful impact, it must help improve governance by building capacity of relevant government institutions and facilitating partnerships between government and civil society to create stronger demand and accountability for change.

PAHRODF helps build the foundation of good governance in selected organisations critical in delivering the two countries' mutual development priorities so they can be more capable of delivering services and effecting positive changes in the Philippines. The Facility does this by assisting partner organisations address their human resource and organisational development needs in terms of:

- Identifying, prioritising, and developing targeted capacities and competencies to support organisational change;
- Making better use of capacities and competencies to improve service delivery; and
- Sharing and building on enhanced capacities and competencies as basis for continuous improvement and learning.

This Guidebook on Organisational Assessment is one of the knowledge products that PAHRODF offer to its partners and the HROD community at large.

About the OA Guidebook

The Cover

The lighthouse has been used in centuries as a navigational aid. It uses a system of lamps and lenses to generate light beams to guide maritime pilots at sea or inland waterways. Organisations embarking on a change journey would benefit from a navigational aid as well.

The OA process that is presented in this Guidebook and the output that would be produced are envisioned to provide organisations with directions, and help them in navigating along the change path.

Like the lighthouse, the OA process uses multiple lenses in assessing organisational components to get a clear sense of its current state and possibilities in charting the future.

The Structure

The Guidebook is designed so that organisations and OA teams will be introduced first to foundational information on the principles, purpose and uses, and overview of OA as a process and as an output.

The PAHRODF C-3C OA Model is then discussed in detail to provide users with the basic blocks for the conduct of the organisational assessment.

A significant part of the Guidebook is devoted to key activities and tasks of the OA process, from planning and preparation, to data gathering and analysis, and report writing.

The Guidebook includes tools, templates, and other job aids that will be used during the OA process. Where considered a more efficient way to provide the materials, links to web sources are provided.

The Users

The Guidebook is primarily developed for PAHRODF's partner organisations, and their in-house or external teams that would manage the OA process. It is however the intention of the Facility to share this knowledge product with all other agencies and offices that are planning to embark on a change journey to improve their organisational performance so they can better contribute to national development.


PAHRODF enjoins its partners and other potential users to apply, and refine or customise this Guidebook in a way that will work best for their organisations.



It's what we think we
know already that
keeps us from learning.

Claude Bernard
French Physiologist

i. Why embark on an OA?

 *The world of work is shifting at such a mind-boggling rate that organisations have little choice but to continually change or risk being left behind.*

A. Greenfield
Author, 5 Forces of Change

DRIVING FORCES FOR CHANGE

Many public sector organisations are now realizing that it cannot be business as usual. Global and local developments are exerting pressure on agencies to revisit how they are doing business, and to step up. Among others, the digital revolution, advent of social media, international economic integration (e.g., ASEAN Economic Community), shifts in demographics, peace and security issues, and climate change are driving organisations from the status quo. Some agencies have acknowledged that their organisations need to develop the agility to function under the “new normal,” that is brought about by these developments.

There is also a growing call for stronger accountability and citizen-centric service delivery from all sectors. This is a clear signal for national agencies, local government units and other government offices to ensure that they have mature and functional systems and processes along critical organisational performance drivers.

The Results-Based Performance Management System (RBPMS) for the Philippine bureaucracy, identifies three critical drivers of organizational performance: 1) financial stewardship; 2) internal process efficiency; and 3) leadership, learning and growth.^a

More than ever, government agencies are challenged to pursue strategic organisational changes that would facilitate the delivery of “*Serbisyong Ramdam ni Juan at ni Juana*,” thus making organisation development (OD) in the public sector an imperative.





OD is a targeted and results-based change management process to steer organisations towards optimal performance and enhanced capacity to learn.

*It is the **organisational assessment** process that lends credence to the design and execution of OD interventions.*

PAHRODF's Working definition of OD

LENDING CREDENCE TO OD

Organisations need strategic guidance when embarking on a change journey. One of the challenges for agencies and LGUs is identifying strategic entry points for organisation development; i.e., the most crucial shifts needed to tilt their organisational performance to the desired level.

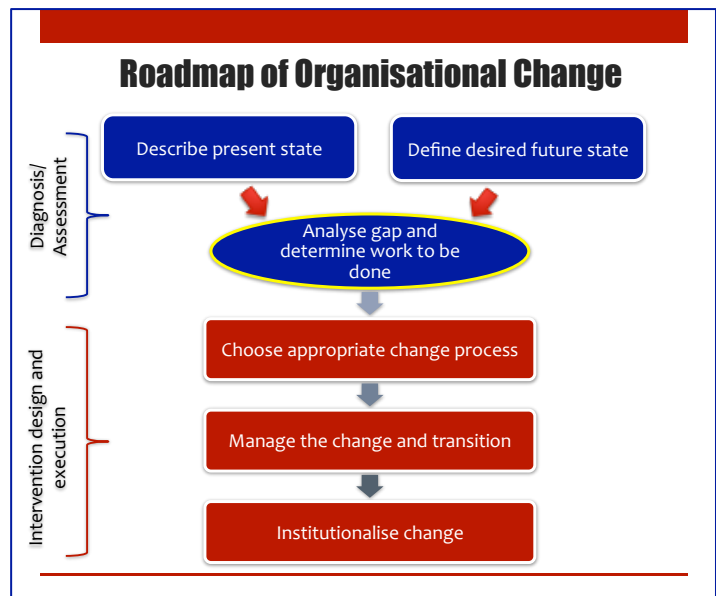
Box 1. Roadmap of Organisational Change

This is where OA comes in. The OA process and the information that is generated provide the anchor for identifying and prioritising change interventions. (Please refer to *Box 1: Roadmap of Organisational Change*).

OA helps the organisation answer the question:



What are the most crucial shifts needed to tilt organisational performance to the desired level?



An OA will help identify opportunities for growth and improvement. It can highlight organisational strengths and best practices. As such, an OA provides reference marks for organisational improvement and learning.

ii. What is an OA?

OA can be viewed as both the *process*, and the *output* (i.e., the information that is generated).

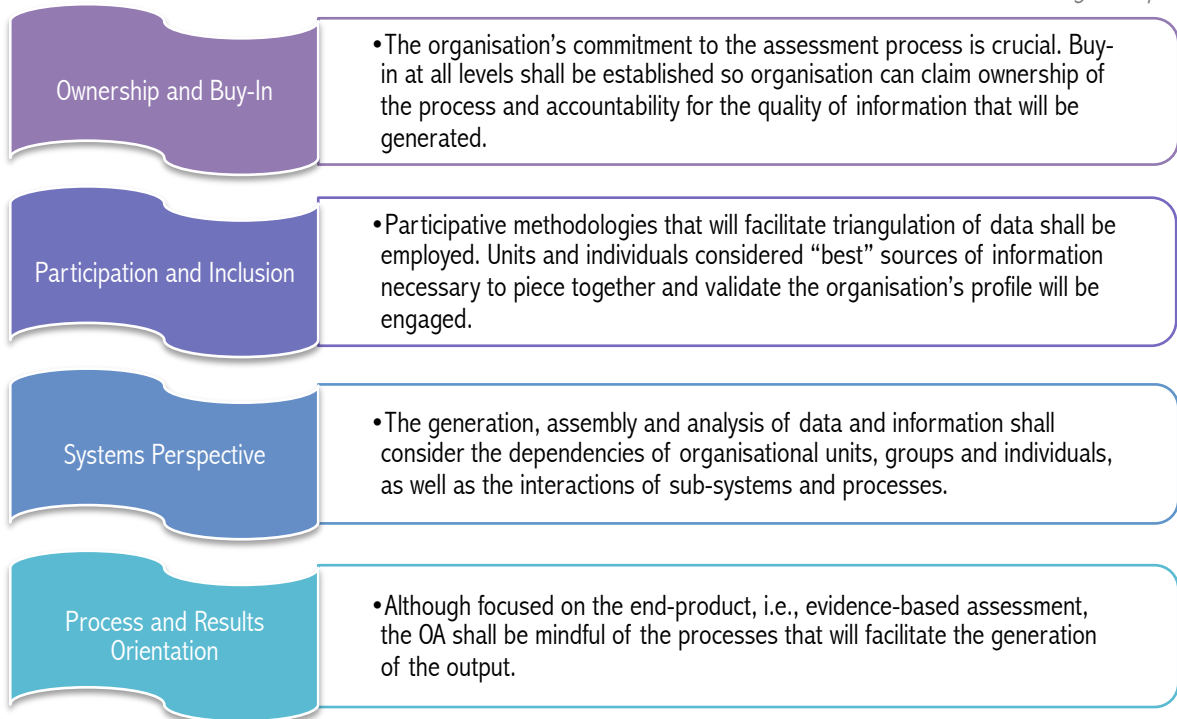
THE PROCESS...

As a **process**, OA is a purposive and systematic approach to gathering and analysing, documenting and reporting data on the organisation's current reality. This includes mapping existing forces in the external and internal environments that impact on the business of the organisation, and assessing the presence and functionality of systems, processes and mechanisms along pre-identified critical drivers of organisational performance. It likewise pins down the gaps that have to be filled up to achieve desired level of performance, and provides indications on possible interventions that could be adopted by the organisation.

GUIDING PRINCIPLES

PAHRODF subscribes to the following guiding principles in carrying out the OA process (Box 2):

Box 2. OA Guiding Principles



THE OUTPUT...

ELEMENTS

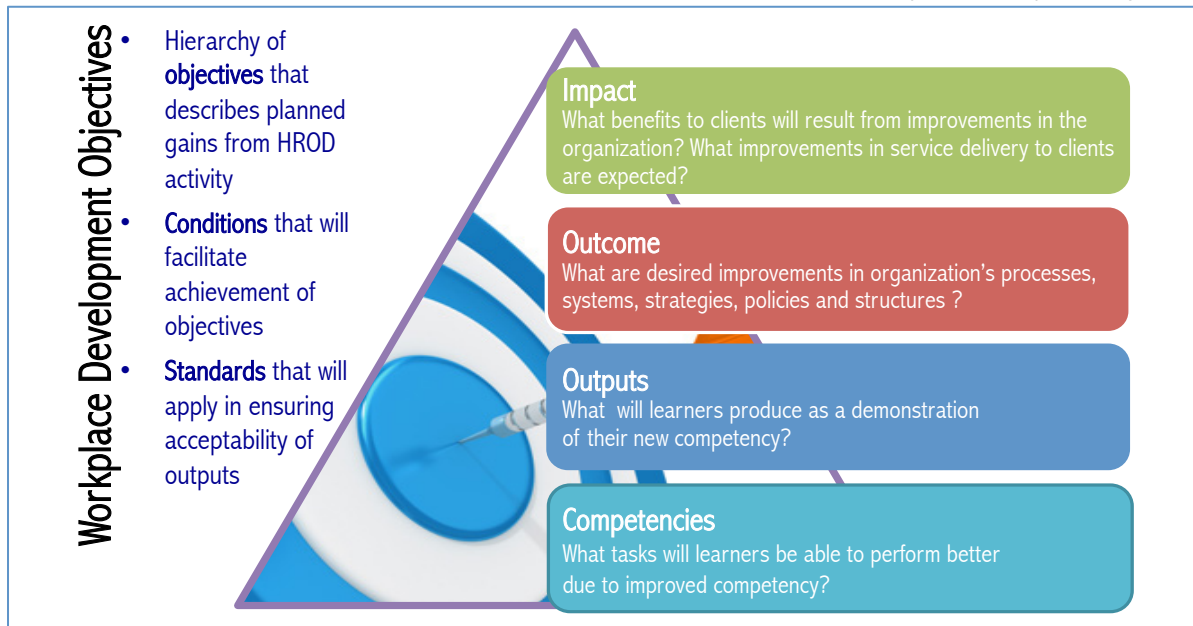
As the **output** of the process, PAHRODF considers the following as essential elements of an OA:

- An “organisational snapshot” that captures information reflecting the organisation’s big picture:
 - ◉ Change agenda, priority thrusts, and performance goals
 - ◉ Developments in the external and internal environments that could impact on the organisation’s current and future business and operations, and achievement of performance goals
 - ◉ Completed and ongoing organisational strengthening interventions that the organisation has initiated
- An “organisational scan” that provides more detailed view of the:
 - ◉ State (e.g., absence or presence, level of maturity and functioning, etc.) of internal systems, processes and mechanisms along pre-identified drivers of organisational performance
 - ◉ Competency levels of key job performers and offices on critical competency dimensions
 - ◉ Level of readiness of the organisation and its members to embark on change initiatives
 - ◉ Analysis of areas of adequacy and strength of the organisation along three pillars of organisational effectiveness: capacities, competencies and change readiness
 - ◉ Analysis of areas for development along three pillars of organisational effectiveness: capacities, competencies and change readiness
- A “change program” that identifies priority interventions that the organisation plans to embark on to enhance organisational performance. The change program defines the Workplace Development Objectives (WDOs) and the proposed set of interventions that could contribute to achieving the WDOs.^b (Please refer to Box 3.)



To differentiate the output from the process, this guidebook will use OA to refer to the process, and will use OA report, result or findings to refer to the output.

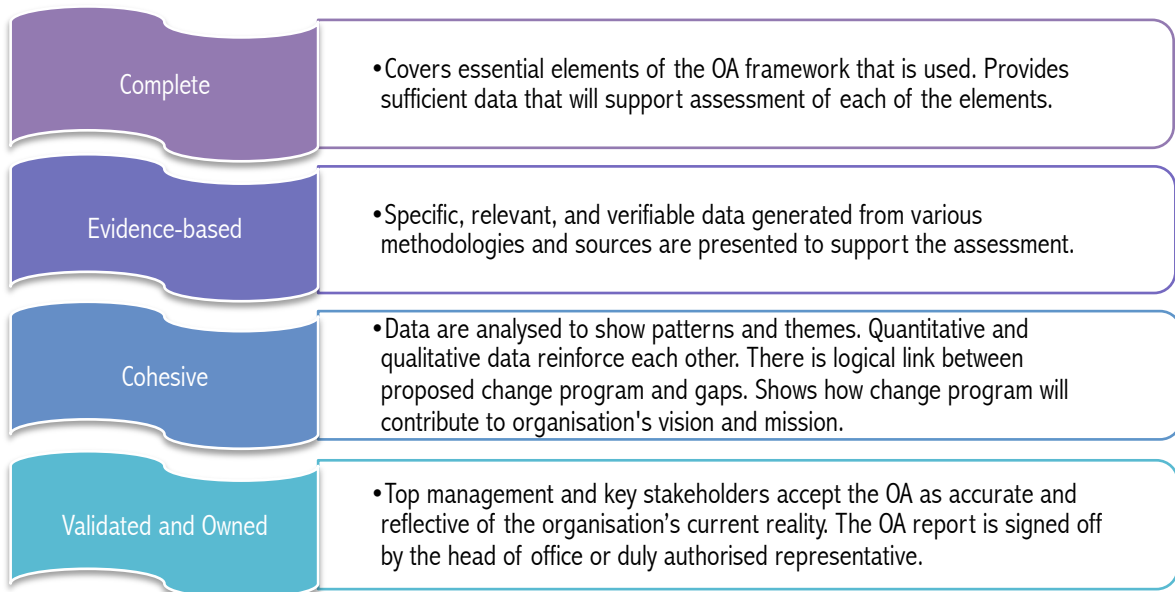




SOME CRITERIA

At the minimum, the OA output should meet the following criteria (Box 4):

Box 4. OA Output Criteria



Top management refers to the head of office (e.g., department secretary for national agencies, local chief executive for local government units, chairperson for constitutional bodies, director general for authorities, etc.) and members of the executive committee.

iii. What are the uses of OA?

SPECIFIC USES

Aside from providing feedback on the organisation's state and performance, the data generated from the OA will inform organisational decision-making and planning. There are specific uses of OA results, and this would differ by the types of audiences.

- Internal audiences:
 - ◉ Top management can use the OA to change or re-align the direction of the organisation, formulate and execute new strategies and programs, make staffing and investment decisions, etc.
 - ◉ Operational units can use the results as reference to improve its processes, build its capacity and competencies, and plan for improving work performance
- External audiences:
 - ◉ Funding organisations may apply the findings to develop more strategic interventions for technical assistance or funding
 - ◉ Partner implementing agencies may employ the results to modify, expand, strengthen or rationalise their participation in joint programs and projects
 - ◉ Legislators and oversight agencies can refer to the OA to increase budget allocation of the agency to support new programs

ENSURING USE OF OA RESULTS

How OA results would be used should be defined before the assessment is conducted to ensure optimum application. This includes identifying the audiences of the report and their expectations from the OA, as well as the modes of dissemination.

Following are some conditions that can promote optimum use of OA results^c:

- The purpose and benefits of the assessment are clear to the organization's stakeholders.
- The main focus of the assessment is on building knowledge that will contribute to organizational learning and improved performance.

A good OA is measured not only by what is learned about the organization but also by how the findings, results and lessons were arrived at. In the end, success will be determined by the contribution made to informed decision-making and learning.

(CIDA, 2006)



- The agency's leadership champions the process and results of the assessment.
- The organization's culture supports use of positive and negative feedback in planning and managing change.
- Key stakeholders are involved throughout the stages of the assessment process.
- Stakeholders see the assessment as relevant, credible, transparent, and of high quality.
- The report is timely (i.e., produced at an opportune time within the planning cycle of the organization).
- There is a process in place and resources allocated to implement and follow-up on the assessment's recommendations.
- Recommendations are realistic and feasible (for example, financially).

iv. When is “best” time for an OA?

An organisation may embark on an OA at any point in time during its life cycle, especially if it is being done for the first time. Nonetheless, there are situations or conditions that present opportune timing for the conduct of an OA.

- *As part of the agency's organisational planning cycle.* This may be considered as a more proactive and opportunity-based timing as OA results can inform strategic decisions that the organisation will make during its planning process.
- *Presence of “pressure points” in the organisation's external and internal environments that may require a change response.* These include change in leadership, new thrusts or reform agenda of the administration, new legislations, regional and global developments (e.g., the ASEAN integration), and technology changes that would impact on the organisation's business and its capacity to deliver services. Feedback from clients as a result of a customer survey or other forms of customer feedback mechanism, or the less than satisfactory performance of the organisation as reflected in its Report Cards under the RBPMS could be significant triggers for the conduct of an OA.



v. Who conducts the OA?

An organisation may engage a team of external consultants, form an internal team, or build a team composed of external consultants and representatives from various offices of the organisation to conduct an OA. Each approach has its advantages and drawbacks (Box 5).

Box 5. Use of Internal and External OA Teams



Internal Team

- An internal team has better understanding of the context and nuances of the organisation. Self-assessment encourages the organisation's ownership of the process, thus increasing acceptance of feedback and commitment to the recommendations. Also, the process can be completed with less cost. External stakeholders could question the objectivity and validity of the findings, though. There could also be a perception that difficult issues would not be tackled due to sensitivities within the organisation.



External Consultants

- An OA conducted by a team of external consultants is usually perceived as independent and unbiased. Some external consultants may take longer to appreciate the context and complexities of the organisation, though. There is also the possibility that management and staff would find it difficult to accept the assessment results and recommendations presented by "outsiders" to the organisation. Hiring an external team entails cost.



Combined Team

- Some organisations consider the third option as a happy compromise: an internal team partners with external consultants in the planning and conduct of the OA. The internal team provides the context and helps the consultants in navigating organisational complexities, while the external team takes the lead in data gathering and analysis.

CONSIDERATIONS

Following are some questions to ask when deciding on the kind of team that will be engaged in the conduct of the OA.

- *Does the team have an understanding of the context and complexities of the organization?*
- *Can the team assure unbiased documentation of findings?*
- *Can the team be trusted with confidential and sensitive organisational issues?*

- *Can the team commit the necessary level of effort and time to the conduct of the OA?*
- *Does the team have the credibility to conduct an OA? (That is, major stakeholders recognise the team as having the capacity, integrity, and authority to take on the task.)*
- *Does the team possess competencies in conducting OA?*
 - ◉ *Technical know-how: OD perspectives, understanding of the OA framework and process, research and data gathering, analysis and integration, technical writing and report preparation*
 - ◉ *Business acumen: Understanding of the organisation's business and processes, and the various internal and external demands that are acting on the organisation*
 - ◉ *Interaction management: Ability to interact with all parties in a sensitive and effective manner, facilitate meetings and discussions, and to work as part of a team*
 - ◉ *Communication and Presentation: Ability to organise and convey status and results of the OA to varied audiences*
 - ◉ *Critical thinking: Ability to sift through, analyse and synthesise information; ability to draw conclusions based on evidence, context and prior knowledge*
 - ◉ *Organisational sensitivity: Ability to recognise and navigate through political and power dynamics within the organization; ability to anticipate consequences and impact of recommendations to the organisation*

EMPLOYING AN INTERNAL OA TEAM

CONDITIONS

Aside from the considerations listed above, three conditions need to be present, at the minimum, if the organisation is to form an internal team to conduct an OA:

- A high degree of trust (among offices and individuals) is present in the organisation.
- There are no major internal conflicts (e.g., poor management and labour union relationships) that could get in the way of objective assessment.
- A high-level process owner (preferably a member of the executive or management committee) is willing to champion the OA and lend time and talent to oversee the process.



Getting inputs from clients and other external stakeholders will balance and validate data generated by the internal team, and will make the assessment more robust. Thus, it is highly preferable if the organisation is willing to invest resources in getting the “voice of the customer” to strengthen the quality of the OA.

Additionally, the credibility of the assessment is enhanced if an external subject matter expert is tapped to review and determine the value, appropriateness, responsiveness and relevance of outputs, manuals, and other documented evidences produced by the organisation.

FORMING THE OA TEAM

A good OA team size is 3-6, composed of members with multi-disciplinary background and experience so they can provide a range of views in analyzing results and coming to a consensus. Large organisations may opt to expand the size of the team to allow faster coverage of regional or satellite offices and completion of the process.

There are no hard and fast rules as to composition of the team. It is good practice though to involve people with broader organisational perspectives because of the nature of their offices or jobs. These may include representatives from planning, human resource management and organisation development (HROD), and corporate/strategy management offices. The process owner can come from any of these offices.

Roles

Two major roles will have to be performed by the OA team: strategic and operational. For this purpose, the team may be divided into two sub-teams, each with distinct assignment. Or, the team may decide to involve all members in performing both roles. Regardless of the arrangement, it is important to select team members carefully, considering the role/s to be fulfilled, and their availability and competencies.

The strategic role includes:

- Defining the objectives of the OA and its boundaries
- Clarifying the target audiences (users and readers) of the OA report



- Finalising the conceptual framework, guidelines and directions for the OA process (should there be a need to tweak or further customise the framework and process provided in this guidebook)
- Reviewing and approving the work plan and budget
- Leading or at least overseeing the development of research methodologies (including sampling and assessment tools)
- Reviewing the analysis and recommendations before the report is presented to top management and shared with other stakeholders

The operational role covers:

- Preparing work plan and budget
- Coordinating with offices regarding schedules, participants and venue of data gathering activities
- Preparing and issuing communication to the different offices that will be part of the OA
- Ensuring that all data gathering tools are available when needed
- Conducting actual data gathering using the prepared tools
- Resolving critical incidents that may get in the way of the OA process
- Tabulating and analysing data
- Developing recommendations
- Preparing and presenting the OA report

ENGAGING AN EXTERNAL TEAM OF CONSULTANTS

If organisational trust level is low, or if there are unresolved internal conflicts, it would be more sensible to find outside resources to conduct the organizational assessment. The external team can apply a third party lens that is more likely to be perceived as objective and independent

The team of consultants will take on part of the strategic role during the OA (e.g., developing and proposing the OA conceptual framework, guidelines and research methodologies). However, the organisation has to provide strategic directions and approval for certain OA elements, including:

- Objectives and boundaries of the OA
- OA conceptual framework
- Research methodologies
- Work plan and budget

To be able to do this, the organisation still needs to identify a process owner who will serve as the link between the organisation and the external team. Another option is to form a small-sized steering committee, with the process owner as a member.

In performing the operational role, the organisation may assign a staff or a counterpart team that can facilitate coordinating schedules with respondents in the OA and meetings with management.

SOME TIPS

The set of general considerations listed above also applies when checking the qualifications of an external team to do the OA.

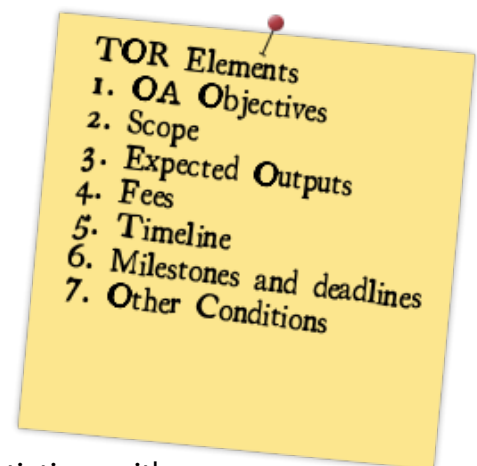
Following are additional tips once the organisation has decided to engage consultants:

- Be clear about the objectives of the OA.
- Draft a terms of reference (TOR) that defines OA objectives and expected outputs from the team. *(Please refer to Box 6 for key elements of the TOR.)* Aside from the timeline for the OA conduct, the TOR should also specify other conditions like confidentiality, counterpart team, logistical arrangement, etc.

The TOR will be very useful when inviting consultants to submit a proposal. This could later on be finalised after discussions and negotiations with the preferred consultant/s.)

- Seek referrals from other organisations that have conducted OA.
- Invite several consultants to submit a proposal, and spend time screening them before awarding the project.

Box 6. Key TOR Elements



vi. What is HRODF's OA framework?

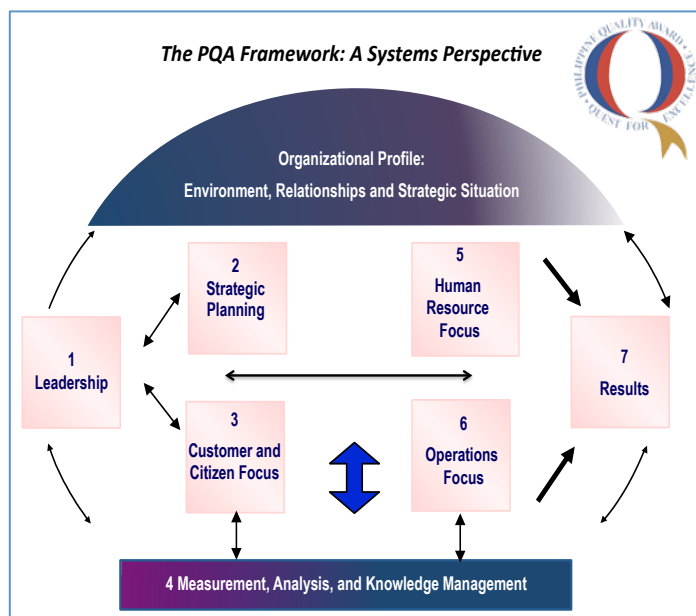
The conduct of an OA is greatly facilitated with the use of a framework, which defines the underpinning premises, organisational elements and dimensions that will be covered by the assessment. PAHRODF has developed the *C-3C OA Model* to guide the Facility and its partner organisations in conducting organisational assessment prior to introducing HROD interventions. Over a span of five years, the model has been pilot-tested, refined and applied to organisations of various sizes, configurations and mandates (e.g., national agencies, bureaus, authorities, local government units, etc.).

THEORETICAL FRAMEWORK OF THE HRODF C-3C OA MODEL

THE PHILIPPINE QUALITY AWARD

In developing the *C-3C OA Model*, PAHRODF referred to the Philippine Quality Award (PQA), a national award program that recognises achievements of public and private organisations in their journey towards performance excellence.

Box 7. PQA Framework



It was established through Executive Order No. 448 issued by former President Fidel V. Ramos on October 3, 1997.

The PQA is a template for competitiveness based on the principles of Total Quality Management, and sets standards of excellence to help Filipino organisations achieve world-class performance. The Philippine Quality Awards is patterned after the U.S. Malcolm Baldrige National Quality Award.

As reflected in the PQA Framework, the award's Criteria for Performance Excellence has seven categories^d (Box 7):

1. Leadership
2. Strategic Planning
3. Customer and Citizen Focus
4. Measurement, Analysis, and Knowledge Management
5. Human Resource Focus
6. Operations Focus
7. Results

In developing its organisational assessment framework, the Facility tweaked the PQA in terms of language (e.g., Stakeholder Relationship instead of Customer and Citizen Focus). The Facility also added Gender and Development as one of the elements.

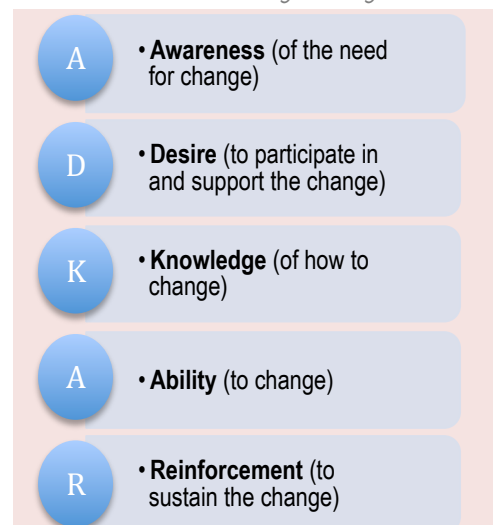
CHANGE MANAGEMENT MODEL

The Facility recognises that the human dimension is one of the more challenging factors that organisations have to manage when embarking on a change journey. In developing the indicators for change readiness, PAHRODF referred to the ADKAR® Model, which focuses on the transition of individuals as they are affected by change within an organization (Box 8).

The model was first introduced in 1999 as an outcome-oriented approach to facilitate individual change (by Prosci, an organisation known for benchmarking research and change management products). It has since become one of the most widely used change management models in the world.^e

The Facility has expanded the elements of ADKAR to cover the team and organisational dimensions of change (i.e., vision and change agenda, executive sponsorship, and track record for implementing change.)

Box 8. The ADKAR Change Management Model

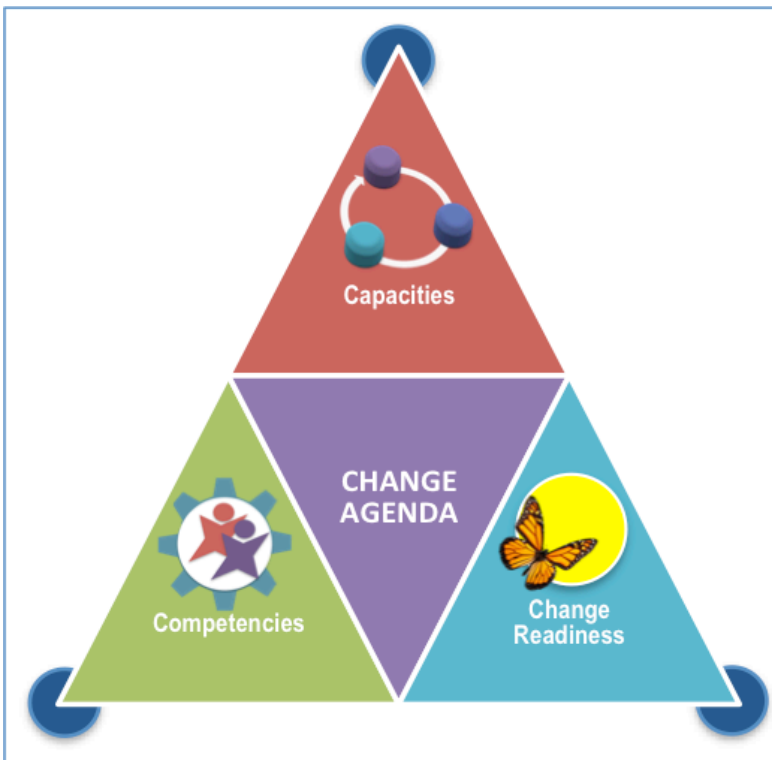


THE HRODF C-3C OA MODEL

Many organisations, researchers and OD practitioners use the terms organisational assessment and organisational diagnosis interchangeably. The Facility opted to use 'organisational assessment' in developing the *C-3C Model*, for three reasons:

- The term diagnosis is commonly associated with finding what is wrong with someone or something so that an appropriate solution can be prescribed, especially because of its more popular medical usage: i.e., "the act of identifying a disease, illness or problem by examining someone or something."ⁱ
- The *C-3C Model* uses a rating scale to gauge the organisation's level of functioning in identified OA components and indicators. This facilitates the process of determining the expanse, quality or level of the OA components, without necessarily zeroing in on what is wrong.
- The assessment results provide baseline data and help organisations in setting improvement targets, and in tracking, monitoring and evaluating their progress.

Box 9. PAHRODF C-3C OA Model



The *HRODF C-3C OA Model* has four components (Box 9): The first 'C' refers to the organisation's **change agenda**, which is at the centre of the process. This underscores that the assessment is anchored on the agency's context and thrust.

The '3C' refers to the three pillars of organisational effectiveness: **capacities**, **competencies**, and **change readiness**.

THE ORGANISATION'S CHANGE AGENDA



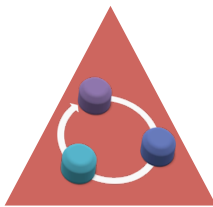
Change agenda refers to the goals and reforms that the organisation needs to pursue to fulfil its mandate and mission. This requires re-visiting the agency's priority thrust, strategic directions and mission-critical goals in the context of external and internal developments.

This component thus includes scanning the organisation's environment; i.e., new and emerging demands as well as stakeholder needs that will impact on the organisation. In the context of the PAHRODF, how the organisation's change agenda contribute to the Australia-Philippines Development Cooperation Program's Statement of Commitment⁸ is also clarified.



The goal of the Australia-Philippines Development Cooperation Program is to assist the poor and vulnerable to take advantage of opportunities that can arise from a more prosperous, stable and resilient Philippines.

ORGANISATIONAL CAPACITIES

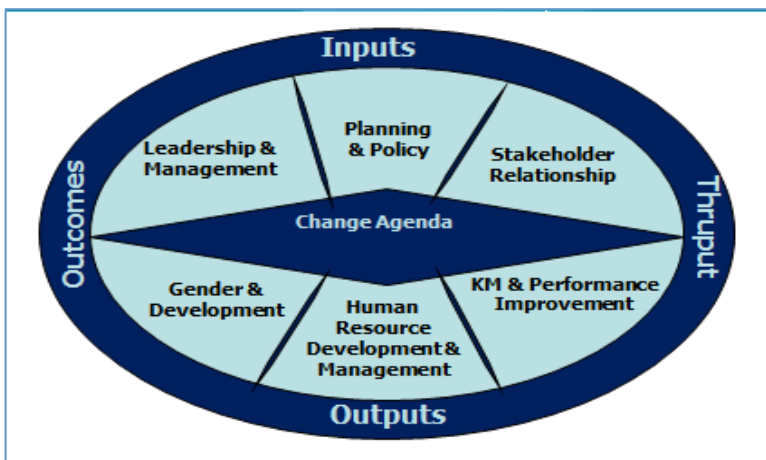


Organisational capacities refer to the internal structure, systems, processes or mechanisms that support the organisation's overall functioning.

The C-3C OA Model identifies six capacity areas that can contribute significantly to organisational performance: Planning and Policy; Leadership and Management; Human Resource Management and Development; Knowledge Management and Performance Improvement; Stakeholder Relations;

and Gender and Development. Box 10 shows the PAHRODF assessment framework for the capacity pillar. A set of critical success indicators for each of the capacity areas has also been identified to guide the assessment process. (Please refer to Annex A.1.)

Box 10. HRODF Capacity Pillar Assessment Framework



Box 11 describes the focus of assessment in the six capacity areas.

Box 11. C-3C OA Model Capacity Areas

Capacity Areas	Focus
Planning and Policy	<ul style="list-style-type: none"> Capacity to identify and anticipate strategic challenges and directions of the organisation, develop, execute and evaluate plans, and mobilize resources to meet this Capacity to optimize planning processes and tools as instruments for organisational change and achieving strategic results
Leadership and Management	<ul style="list-style-type: none"> Capacity to create and nurture an organisational culture and environment that promotes peak performance and continuous improvement Capacity to manage resources and focus energies to support the achievement of organisation's mandate Capacity to establish and sustain a robust financial management, reporting and internal control systems
Human Resource Management and Development (HRMD)	<ul style="list-style-type: none"> Capacity to determine key human performance elements that will promote the achievement of the organisation's mandate Capacity to develop and deploy mechanisms and processes for ensuring that the organisation has adequate, competent, and engaged human resources to permit mission-critical roles (Four HRMD sub-systems: Recruitment, Selection and Placement; Learning and Development; Performance Management; and Rewards and Recognition are assessed to align with the PRIME-HRM.)
Knowledge Management and Performance Improvement	<ul style="list-style-type: none"> Capacity to build and manage knowledge assets to facilitate achievement of strategic goals and promote continuous improvement and organisational sustainability
Stakeholder Relations	<ul style="list-style-type: none"> Capacity to identify partnership opportunities, and build and optimize alliances with mission- critical stakeholders so the organisation can pursue its reform agenda and provide services to its clientele more effectively
Gender and Development	<ul style="list-style-type: none"> Capacity to identify and respond to GAD issues and concerns in the organisation

For Human Resource Management and Development, the indicators of the Program to Institutionalise Meritocracy and Excellence in Human Resource Management (PRIME-HRM) of the Civil Service Commission are applied.

The PRIME-HRM indicators may be accessed online at: <http://web.csc.gov.ph/cscsite2/2014-02-21-08-28-23/pdf-files/file/1903-mc30s2014>, MC 30 - Adoption of HR Maturity Level Indicators for the HR Management Systems in the Public Sector.

COMPETENCIES



Competencies refer to the knowledge, skills and attitudes that groups of individuals or units need to possess to accomplish tasks or fulfil roles and responsibilities to achieve the organisation's goals.

The C-3C OA Model targets four competency areas for assessment: Planning and Policy; Leadership and Management; Human Resource Management and Development; and Financial Management and Internal Control. Box 12 describes the focus of assessment in the five competency areas.

Box 12. C-3C OA Model Competency Areas

Competency Areas	Focus
Planning and Policy	<ul style="list-style-type: none"> Ability to develop, deploy and implement strategic and operational plans supported by sound policies Ability to monitor and evaluate plan implementation and accomplishments, and to use results to ensure that planning and project management processes are always responsive to strategic needs
Leadership and Management	<ul style="list-style-type: none"> Ability of executives, managers and supervisors to guide and energize people to achieve performance targets in line with a set of shared organisational vision, mission, values, goals and performance parameters^b
Human Resource Management and Development (HRMD)	<ul style="list-style-type: none"> Ability to plan, develop, execute and evaluate an integrated human resource management and development system that will facilitate the acquisition and maintenance of best-fit, motivated and high performing individuals and units to perform current and future work requirements to achieve the organisation's strategic goals (i.e., competencies in Recruitment, Selection and Placement; Learning and Development; Performance Management; and Rewards and Recognition)
Financial Management and Internal Control	<ul style="list-style-type: none"> Ability to develop, instal, execute and evaluate financial management and financial and internal control systems to harness financial resources towards achieving the organization's strategic goals.¹

A set of critical success indicators for each of the competency areas (Annex A.2) has likewise been identified to guide the assessment process. For HRMD, the PRIME-HRM competency indicators are applied. (Available at:

¹ For specific competencies on Financial Management and Internal Control, organisations can apply the Public Finance management (PFM) Competency Model consisting of the Common PFM Competency Framework, and the Technical Competency Frameworks in Budgeting, Procurement, Cash Management, Accounting, and Auditing. These competencies were approved by the inter-agency PFM Committee composed of the Department of Budget and Management, Commission on Audit, Department of Finance, and the Bureau of the Treasury on 29 January 2014. The development of the PFM Competency Model was supported by the Department of Foreign Affairs and Trade-Australian Aid, through the Philippines-Australia Public Financial Management Program (PFMP).

<http://web.csc.gov.ph/cscsite2/2014-02-21-08-28-23/pdf-files/file/1903-mc30s2014>, MC 30 - Adoption of HR Maturity Level Indicators for the HR Management Systems in the Public Sector.)



An organisation may opt to include other capacity and competency areas in its OA, depending on the organisation's specific mandate, key performance goals and business processes.

For example, an organisation that deals with financial and investment management may want to assess the organisation's capacity and competency for Risk Management. The focus of assessment and indicators that will be used just have to be defined for any capacity or competency area that will be made part of the OA.

CHANGE READINESS



Change Readiness refers to the level of openness and willingness of the organisation to undertake change efforts to improve overall organisational effectiveness. It also indicates a shared perspective among leaders and staff on the value of organisational transformation, and a collective commitment and confidence to implement reforms.

The C-3C OA Model looks into in six dimensions of change readiness. Box 13 describes the focus of assessment in each of the dimensions.

Box 13. C-3C OA Model Change Readiness Dimensions

Change Readiness Dimensions	Focus
Vision and Change Agenda	<ul style="list-style-type: none"> Presence of clear and engaging strategic directions (i.e. reform agenda), such as vision, mission, goals and strategies that are elicited from and communicated to targeted stakeholders for ownership and buy-in
Executive Sponsorship	<ul style="list-style-type: none"> Presence of committed leaders (both formal and informal) in various layers of the organisation who advocate for the planned reforms, and help in developing a critical mass of change
Track Record for Implementing Reforms/Changes	<ul style="list-style-type: none"> Demonstrated capacity to lead, steer, implement and evaluate strategic reforms that have yielded positive outcomes/results
Absorptive Capacity of the Organisation for the Reform	<ul style="list-style-type: none"> Ability of the organization to absorb new learning, skills and practices with little or no downturn in performance; ability of the organisation to complement and harmonize changes
Level of Awareness and Desire for Change	<ul style="list-style-type: none"> Extent of awareness and understanding of the people affected by the change to implement the desired change (i.e., reform agenda)
Level of Knowledge and Ability for Change	<ul style="list-style-type: none"> Ability of targeted people to sustainably implement the desired change agenda

C-3C SYNERGY

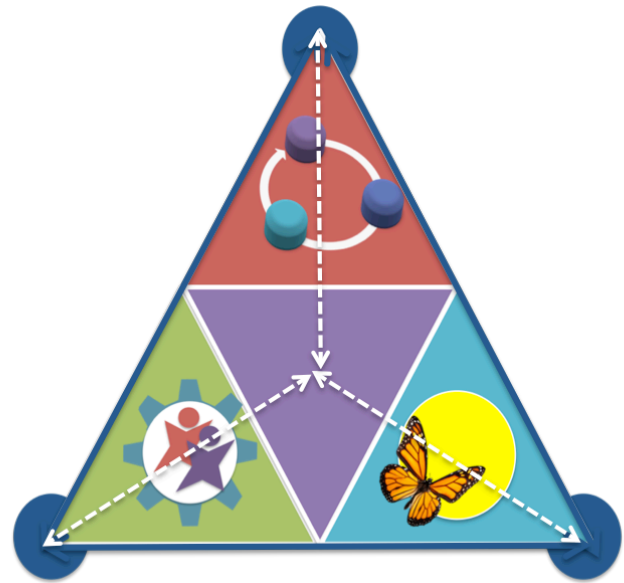
Box 14. Synergy of C-3C Components

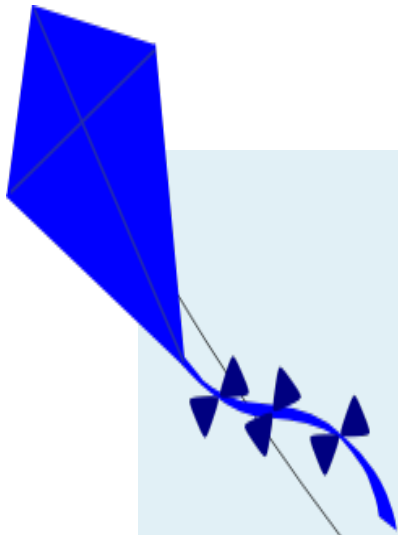
In the context of the PAHRODF C-3C OA Model, each of the four components and their indicators are defined to guide the assessment. However, they are not examined in isolation. The change agenda provides the overall milieu for the OA, and the assessment of one pillar provides a helpful lens with which to study the others.

The organisation's agility to respond to its environment and the functioning of its internal systems and processes largely drive its performance along the change agenda. The efficiency and effectiveness of these systems and processes are in turn influenced by the competencies of individuals and units to plan, develop, install and manage them. Any gaps or areas for improvement that may show up in systems and processes can indicate opportunities for competency development. In the same manner, competency gaps will most probably reflect in the quality and responsiveness of systems and processes.

An examination of the organisation's change readiness will provide additional perspectives with which to view internal systems and processes and competencies. This can surface factors that may support or potentially hinder the introduction and adoption of reforms in certain areas of the two components. The organisation's level of readiness for change will determine the nature, pacing and scope of interventions, especially in terms of preparing the organisation for change in systems and development of competencies.

Proposed programs need to show not only the gains that will result from strengthening a specific pillar, but also how these can complement or supplement interventions to strengthen the other pillar/s.





We cannot solve our
problems with the same
thinking we used when we
created them.

Albert Einstein

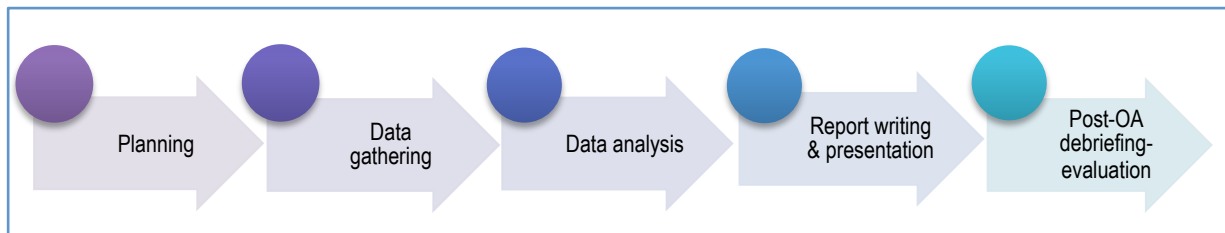
vii. How is OA done?

CONDUCTING THE OA

At this point, the organisation has made the decision to embark on an OA. A process owner has been assigned by the head of office to lead and oversee the project. (Please refer to Section v.) The process owner will work closely with the OA team (whether external or internal) in ensuring that all phases of the OA are carried out and expected outputs are delivered in a timely manner.

The key activities in conducting an OA may be clustered into five phases, each as important as the other:

Box 15. Major Clusters of OA Activities



PLANNING THE OA

The tasks and outputs in this phase will determine, to a large extent the focus, scope and approach of the OA.

1. FIRM UP OA TEAM

Key Tasks

1. Decide whether to tap external consultants or form an internal team.
2. Finalise composition following considerations and guidelines discussed in Section v.
3. Prepare necessary support documentation:
 - Terms of reference (TOR) and Memorandum of agreement (MOA) for external consultants
 - Special order (or equivalent) to formalise team composition and involvement of members
4. Engage members in clarifying roles and establishing norms for the OA team.

Outputs

1. OA team composition
2. Signed TOR and MOA (external consultants)
3. Issued special order or internal office communication (internal team)
4. OA team role and norms including communication protocols

2. FINALISE OBJECTIVES AND BOUNDARIES

Key Tasks

1. Revisit with the team what triggered the decision to conduct OA, and clarify overall purpose and intended uses of OA results.
2. Finalise objectives of the OA.
3. Pin down scope of the OA. This will include the capacity and competency areas that will be included, should the organisation see the need to tweak the PAHRODF C-3C OA Model.
4. Agree on offices and geographical spread (e.g., all offices nationwide, specific regional offices, central office only, etc.) of the OA.
5. Set timeline for the OA and prepare indicative work plan. (Work plan can be finalised once the methodologies and sample respondents are determined.)

Outputs

1. OA purpose and objectives
2. Scope of the OA
3. Geographical coverage of the OA
4. Duration of project and indicative work plan



For OA projects that are carried out by the PAHRODF, the following initial activities need to be carried out by the contracted learning service provider:

1. *Together with Facility assigned HROD adviser, meet with head of agency to discuss:*
 - *Purpose of OA and its value to the agency and its partnership with the Facility*
 - *Scope of OA*
 - *OA output*
 - *Methodologies (including respondents to the OA)*
 - *Timeline for the OA*
 - *Counterpart team and other resources, as appropriate*
2. *Finalise work plan for approval of the agency and HRODF.*
3. *Meet with process owner and counterpart team to discuss:*
 - *Work plan (specific activities, respondent, logistics and schedule)*
 - *Communication protocols*



3. GENERATE ORGANISATIONAL BUY-IN

Key Tasks

1. Prepare a communication plan aimed at generating buy-in and commitment of key stakeholders to the OA. The LSP can develop the communication plan if the organisation contracted an external team to do the OA. However, the LSP has to engage the process owner or counterpart OA team in developing the plan.

Essential elements of the plan include:

- Communication objectives
- Core messages
- Target audience
- Communication medium
- Timing of communication
- Responsible person or unit



There are many ways to communicate and generate buy-in for the conduct of OA, depending on the core message, audiences, and resources available. These can be in the form of a memorandum, presentation during flag ceremonies, posting in the bulletin board or newsletter, conversations with small units, etc.

One of the first and important communication items that will be planned for and developed is the announcement of the conduct of the OA to all employees. This is usually in the form of a memorandum circular or town hall meetings. This can influence the employees' response to the process (e.g., supportive or resistant). The purpose and specific objectives of the OA have to be clearly explained. The selection of units and individuals that would be invited as respondents, as well as the schedule need to be part of the communication.

In preparing the Communication Plan, the OA team also anticipates possible resistance to the project of specific groups, and plan for ways to minimise or mitigate these.

2. Implement the communication plan.
3. Monitor feedback of offices and individuals and address emerging concerns regarding the project.

Outputs

1. Communication plan

2. Communication materials

4. ESTABLISH OA APPROACH

This step will provide the scaffold and tools for the data gathering that will be done. It involves reviewing, customizing (if needed), and finalising data collection methods, sources and tools, and the sampling of respondents to the OA.

Key Tasks

1. Review methods and tools provided in the guidebook.
 - Discuss and agree on any modifications (including customising indicators), if needed.
 - Consult offices directly responsible for the capacity/competency areas as necessary.
 - Determine mode/s of administration of survey (i.e., face to face or online).
2. Identify sources of data. Validate these with heads of offices as appropriate.
3. Establish sample using the sampling techniques (discussed below).

Outputs

1. Data gathering methods and tools
2. List of data sources (i.e., documents needed, positions and offices where sample would be drawn)
3. Sample respondents (i.e., names, positions and offices)

Triangulation Technique

A key consideration when deciding on the elements of the OA approach is ensuring the quality of data that will be collected so that conclusions can be reached and appropriate recommendations can be framed. One technique that contributes to quality OA is triangulation.

Triangulation involves using multiple data sources to produce clarity and understanding of the different OA elements and their synergy. Triangulation is often regarded as a means to validate or verify data that is generated by a particular data collection method. But more than that, triangulation is used to ensure that OA results are rich, robust, and comprehensive.ⁱ

The *PAHRODF C-3C OA Model* suggests the use of three types of triangulation:

1. **Methods triangulation** - checking out the consistency of findings from different data collection methods (i.e., quantitative and qualitative)
2. **Sources triangulation** - examining the consistency of findings from different data sources using the same method

- Analyst Triangulation** - using multiple analysts and/or observers to check on selective perception and blind spots in data collection and analysis, not to force consensus but to see the data from multiple perspectives

The value of triangulation in ensuring the quality of OA is especially highlighted for internally conducted assessments. To reduce what may be perceived as internal bias, the agency needs to include external respondents as part of sources triangulation. These sources can be oversight agencies, clients, partners, suppliers or other stakeholders, who have direct knowledge of, or experience with the organisation's reform agenda and specific processes covered by the OA. For example, when assessing the capacity on *Stakeholder Relations*, one good source of data can be the agency's partners in implementing projects.

The process of getting feedback on the client's requirements and perceptions about the organisation's services and products is sometimes referred to as the "Voice of the Customer" or VOC.



A single method can never adequately shed light on a phenomenon. Using multiple methods can help facilitate deeper understanding.

RW Johnson Foundation



VOC is a process used to capture feedback from customers so that organisations can provide them with the best in class service/product quality. The term VOC is also used to refer to the stated and unstated needs or requirements of the customer.

The voice of the customer can be captured in a variety of ways: interviews, surveys, focus group discussions, field reports, complaint logs, etc.

<http://www.isixsigma.com/dictionary/voice-of-the-customer-voc/>

C-3C OA Methods and Tools

The C-3C OA Model applies quantitative and qualitative methods in assessing the different OA components. As suggested by the term, a quantitative method seeks to generate specific data using numbers as reference. In the C-3C OA Model, quantitative data is collected using survey. The resulting figures are then analysed to identify patterns (or detect divergence), and used to form conclusions.

A qualitative method on the other hand aims to gather non-numerical or descriptive data. PAHRODF uses focus group discussion (FGD) and key informant interview (KII) in conducting OA. These qualitative methods allow sources to expound on their responses thus generating data that can reflect the unique

context, culture and nuances of the organisation. A third qualitative method that is applied is documents review of organisation’s context, reform agenda, systems, processes, outputs, etc.

The Facility has developed a set of tools to facilitate and standardise the process of collecting data using the above methods.

Survey

As a quantitative method, survey allows relatively quick collection of data from a good number of respondents. PAHRODF uses a paper-and pencil questionnaire that covers indicator statements for the three pillars: Capacities, Competencies and Change Agenda. The questionnaire can also be administered online. Respondents to the survey are the non-managerial staff of the agency. *(Please refer to Annex B.1 for the Survey Questionnaire.)*

Respondents are asked to assess each statement using a rating scale. The instrument provides space for comments after each dimension so that respondents can write specific remarks or information to support their rating.

An eight-point scale has been provided to rate the capacity and competency pillars. *(Please see Boxes 16 and 17.)*

Box 16. Rating Scale for Capacity Pillar


Rating	Definition
8	The practice of the best mechanisms and processes are sustained over time.
7	Mechanisms and processes are considered as best practice.
6	Mechanisms and processes are integrated across the organization.
5	Mechanisms and processes are functional and consistently implemented.
4	Mechanisms and processes are functional but not consistently implemented.
3	Mechanisms and processes are partially functional.
2	With mechanisms and processes but not systematic.
1	No mechanisms and processes.

Box 17. Rating Scale for Competency Pillar

Rating	Definition
8	All competency indicators are demonstrated in a consistent and sustained manner and all work results are considered best practice.
7	All competency indicators are demonstrated in a consistent and sustained manner.
6	All competency indicators are adequately demonstrated and all work results meet expectations/requirements.
5	Most competency indicators are adequately demonstrated and most work results meet expectations/requirements.
4	Most competency indicators are demonstrated but work results still need refinement.
3	Some competency indicators are demonstrated.
2	Very Limited Competency.
1	No Competency.

The PRIME-HRM Maturity Levels are applied in assessing the HRMD capacity area, and Proficiency Levels in assessing the HRM and HRD competencies (Box 18).

Box 1. PRIME-HRM Maturity and Proficiency Indicators



Levels	Maturity	Proficiency
4	Strategic	Superior
3	Integrated	Intermediate
2	Process-Defined	Advanced
1	Transactional	Basic

The PRIME-HRM Assessment Tool will be used when assessing the HRMD capacity and competency in the four HR sub-systems: Recruitment, Selection and Placement, Learning and Development, Performance Management and Rewards and Recognition. Assessment tools and forms may be accessed at <http://govcare.csc.gov.ph/hrmo/>, by registering in the PRIME-HRM Portal. (The descriptions of the maturity and proficiency levels are in Annex C.1: A Brief on PRIME-HRM.)

A four-point rating scale (Box 19) is used for assessing change readiness.

Box 2. Rating scale for Change Readiness

Rating	Definition
4	All key factors for success are present. Ready to proceed.
3	Most key factors for success are present, or with minor issues. Requires minimal preparation and support before proceeding.
2	Some key factors for success are present. Requires substantial preparation and support before proceeding.
1	All or most key factors for success are absent or very weak. Requires extensive preparation and support before proceeding.



The 3C3 OA Model survey questionnaire may be converted to an online form. This can be lodged in the employees' portal in the organisation's website, if there is one. As an option, the OA team can access and use any of the survey applications available in the Internet, which offer free and customisable survey formats. Examples are SurveyMonkey (<https://www.surveymonkey.com/>), Zoomerang (<http://www.zoomerang.com/>), or Google Forms (https://docs.google.com/forms/d/1A1bN2-myU-i32ATxHO_celF09VT7dwt6isKfolPLocl/edit).

Focus Group Discussion

A focus group discussion (FGD) is a qualitative research technique that uses a set of questions to obtain in-depth information from a group of people about a particular subject. A facilitator moderates the discussion to ensure that all participants are engaged and focused on the topic.

The ideal number of participants in a focus group discussion is from 6 to 10 to allow rich discussion and produce a good range of responses. (The ability of the facilitator to manage the process given the number of participants and the available time should be considered when planning for a bigger-sized group.)

In using FGD during OA, there are two groups of target participants:

1. *A sample from the respondents to the survey.* The purpose of this FGD is to generate qualitative data or evidences (in the form of critical incidents and examples) to validate and support the numerical ratings on the three OA pillars.
2. *Middle managers.* This FGD aims to gather quantitative data on the three OA pillars and qualitative data (e.g., observations, perceptions and experiences of respondents) on the three pillars, as well as the organisation's environment, and change agenda.

A set of questions has been developed to guide the conduct of the FGD. (Please refer to Annex B.2 for FGD guide questions.)

Key Informant Interview



A key informant interview is a qualitative in-depth conversation with people considered as expert source of information on the topic of inquiry.

In the context of the C-3C OA Model, the purpose of key informant interviews is to collect information from members of the agency's top management, as they can provide valuable information and insights on the organisation's environment, change agenda and business processes, and possible interventions to improve organisational performance.

(Please refer to Annex B.3 for KII Guide Questions.)

Documents Review

Review of documents can yield valuable data and information on all OA areas: the organisation's environment, change agenda, and the three pillars. Organisations have a wealth of documents that capture the agency's reform agenda, strategic goals, programs, structure, etc. These can be in the form of paper documents or electronic/web-based materials. (The OA team can access the agency's website for most of these materials.) For paper documents, these will have to be requested from appropriate offices (e.g., planning, HR, etc.).



Important documents that can be reviewed are annual reports of the organisation, results of client feedback survey, executive orders, and memorandum circulars. Manuals of systems and processes, reports on learning need analysis as well as outputs of offices and individuals can provide hard evidences on the levels of certain capacity and competency areas. Project management reports and awards and citations received by the agency are good sources of data on track record on change readiness.

For local government units (LGU), the Executive Legislative Agenda, the State of Local Government Report, and State of the Province Address, are some documents that capture significant information on the LGU's thrust, programs and performance.

Sampling

Sampling is the process of selecting units (e.g., individuals, groups, offices) from a population (e.g., the entire organisation) so that by studying the sample, results can be generalised as applicable to the population from which they were chosen.¹ The composition and size of the sample when doing OA will influence the outcome of the assessment.

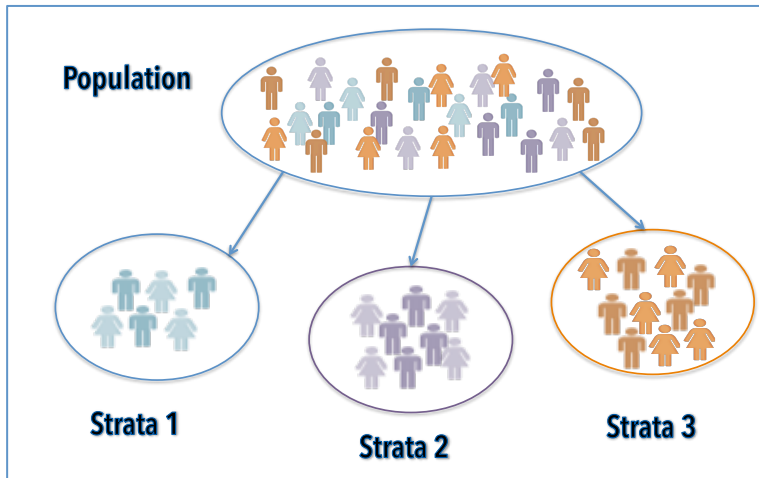


Two types of sampling will be applied when doing the OA:

1. *Probability sampling*, where every unit in the population has a chance (greater than zero) of being selected in the sample.

In the *C-3C OA Model*, *stratified random sampling* is used in determining respondents to the survey questionnaire. This indicates that specific subgroups (or strata) from which the sample will be drawn have been identified (Box 20).

Box 20. Stratified Sampling



The other type of probability sampling is simple random sampling where every unit in the population has equal chance of being included in the sample.

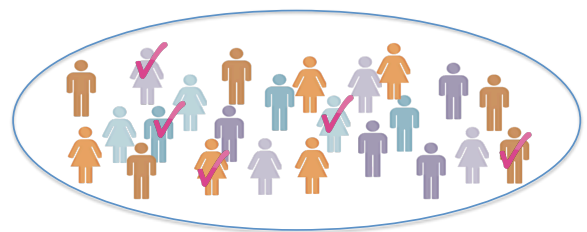
Following is a guide for determining the sample size for the survey from the total number of respondents: 20% from supervisors, 45% from second level rank and file

employees, and 35% from first level rank and file employees. From the identified sub-groups, respondents are randomly selected.

2. *Non-probability sampling*, where some units in the population have no chance of selection; this can be either:

- Purposive, where respondents are selected based on a set of criteria (Box 21)
- Convenience, where respondents who are conveniently available are used as sources to provide the necessary information
- Accidental, where information is collected from respondents who by chance are met by the OA team in the process of data gathering

Box 21. Purposive Sampling



PAHRODF uses purposive sampling in selecting respondents to the FGD and KII to ensure that participants have the needed capacity, orientation and expertise to provide information related to the OA dimensions. (An exception is the selection

of survey respondents who would participate in the validation FGD, where stratified random sampling still applies.)

As mentioned in the discussion of methods, members of top management are targeted as respondents to KII. In national agencies, these would be the head of agency or secretary, undersecretaries and assistant secretaries or corresponding positions. Bureau or office directors can also be identified as KII respondents if their offices are directly responsible for specific capacity or competency areas; e.g., planning and policy, HR, finance. In LGUs, target KII respondents include the local chief executive, vice-governor and department heads directly responsible for specific capacity and competency areas.

For medium (100 to 999 employees) to large organisations (over 1000 employees), managers who have direct knowledge or involvement of the OA dimensions are purposively selected to join the FGD for middle managers. In small organisations (i.e., with less than 100 employees), it can happen that all middle managers are made part of the FGD. Depending on the size of the organisation, there can be more than one FGD sessions, to ensure that the ideal group size is observed.

In some instances, convenience sampling can be applied because of cost, access and availability considerations. An example is when regional directors of a national agency have been identified as target respondents. Out of the 17 regional directors, those who are in the central office during the data gathering period, as well as directors from nearby regions (National Capital region, Regions III, and IV-A) may be prioritised as respondents.

Both purposive and convenience sampling should be planned for. This is not true for accidental sampling though, where the “accidental respondent” just happens to be present or show up during data gathering. This sampling can be useful if the “accidental respondent” meets the criteria for sample selection (i.e., can provide relevant information on the OA areas because of position, expertise or experience).



It's a lot of these small,
seemingly insignificant
design decisions that really
make it work.

Tony Palm
Chief Architect, Candy Crush

5. FINALISE WORK PLAN AND ARRANGE LOGISTICS

Key Tasks

1. Revisit indicative work plan and finalise to include detailed schedule of data gathering activities (survey administration, conduct of FGD and KII, documents review, etc.) and names of individuals, groups and offices to be involved. Arrange for and indicate venue/s of data gathering activities in the work plan.
2. Prepare and send out invitation to target respondents (following office communication protocol) at least one week before schedule. Follow up and confirm attendance.
3. Prepare and send out communication to appropriate offices regarding request for specific organisational documents (e.g., strategic plan, HR plan, manuals, etc.) to be used in documents review.
4. Finalise and prepare all data gathering materials, tools and supplies.
5. Finalise arrangement for venue requirements (i.e., room set-up, meals, projector and other equipment).
6. Conduct OA team meeting to clarify roles and norms during data gathering and ensure shared understanding of data gathering process, methods and tools.



It is ideal that two-three members of the OA team are deployed during each data gathering activity, especially for survey administration and FGD. One can take on the lead role, while the others provide support in responding to questions of participants, documenting the activity, and ensuring that materials, meals and other logistics are in place.

Outputs

1. Detailed work plan reflecting data gathering activities, respondents, date and time, venue, responsible member/s of OA team, resource requirements (e.g., tools, supplies, etc.)
2. List of confirmed respondents
3. Organisational documents
4. Presentation materials, data gathering tools, supplies (including attendance sheet, and name tents for use in FGD if the OA team members are not familiar with participants)
5. Confirmed venue arrangements
6. Agreement on team roles and norms, data gathering process and use of methods and tools

An important factor that the OA team should consider when planning and conducting data collection activities is the length of time needed to generate data. Box 22 shows suggested time limit where respondents can be reasonably expected to provide substantive data without feeling distracted or exhausted. While the respondents may still be available beyond the set time, productivity and engagement can sometimes suffer when participants are held up too long during data collection activities.

CONSIDER the TIME!
Survey: 60-90 min
FGD: 60-90 min
KII: 45-60 min

DATA GATHERING

OA team members need to manage both the process and content (or quality of data) during data gathering activities. Following are guidelines during face-to-face survey administration and conduct of FGD and KII:

1. SET THE TONE

Respondents need to understand what the activity is all about and what is required of them. Others may have concerns about the impact of the assessment on their performance evaluation.

The goal of the OA team at the start of data gathering is therefore to present relevant information on the activity, and influence a non-threatening climate that would make respondents feel open about providing honest and accurate assessment data.

Some key tasks of the OA team in setting the tone:

1. Thank respondent/s for making time for the activity.
2. Introduce OA team.
3. Recognise representatives of various offices that are present.
4. For FGD, facilitate a brief introduction cum icebreaker activity if participants are not familiar to each other.
5. Present background, purpose, specific objectives, and scope of OA (framework and pillars).
6. Assure participants of the confidentiality of the process, and that OA results will have no bearing at all on their performance evaluation. (This may be especially important when respondents are non-managerial personnel.)

7. Explain the different data gathering methods/tools, and what method/tool will be applied during the particular activity.
8. Solicit and respond to questions from participants.



- *Ensure that OA team members arrive at least 30 minutes ahead of the participants especially during survey administration and conduct of FGD. This will provide the team ample time to check on venue, supplies and materials, and welcome participants. It could be a “turn-off” for participants who are already comfortably seated to see the OA team fidgeting to set-up the equipment or check on availability of supplies and materials.*
- *Endeavour to start on time. Advise participants if there would be a delay caused by a significant number of late participants or other unanticipated conditions (e.g., head of agency suddenly expressed desire to address the group before the activity). To the extent possible, start no later than 15 minutes from the time indicated in the invitation.*

2. COLLECT AND DOCUMENT DATA

This should only be carried out after the OA team has covered the opening step (setting the tone). Otherwise, data collection will only be interrupted by questions and concerns of respondents regarding the purpose of the activity, how data will be used, etc.

This step has two main tasks: data collection, and data documentation. The sub-tasks in administering the survey questionnaire are relatively straightforward, as compared to FGD, KII and documents review. Even documentation of data generated using the survey questionnaire is built into the tool itself.

Administering the Survey Questionnaire: Points to remember

1. Ensure that each respondent has a copy of the survey questionnaire and a pen.
2. Read the instructions written on the questionnaire.
3. Go through the content of the questionnaire: capacity, competency and change readiness pillars and indicators. Solicit and respond to questions.
4. Discuss the rating scale. Solicit and respond to questions.
5. State how much time is provided for respondents to accomplish the questionnaire.
6. Remind participants to respond to all items and encourage them to write comments on the blank space provided after each pillar.
7. Reassure participants of confidentiality of the process and their individual responses and enjoin them to be open and candid.

8. Tell participants that the OA team will be available to respond to any questions they have while accomplishing the questionnaire.
9. Move around and observe respondents unobtrusively for cues that indicate confusion. Approach specific participants and check if they need assistance.
10. Manage the time by reminding the group of remaining time halfway through the activity, and ten minutes before the time. Check if there is a need to extend the time.
11. Collect accomplished forms and check for completeness.

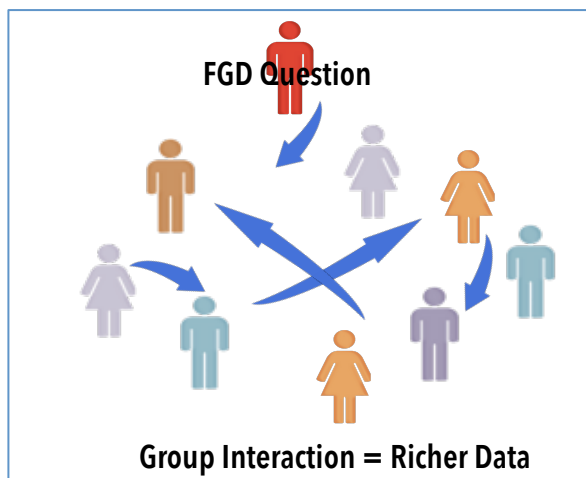


For online administration of the survey questionnaire:

- *Set a positive tone on the survey email invitation or introduction on the survey's website by thanking the respondents for their time.*
- *Use concise and simple words in explaining the purpose and objectives of the survey and how their inputs will be used.*
- *Assure respondents of the confidentiality of the process. Encourage them to be open and candid.*
- *Provide some form of help desk support so that queries of respondents about the survey can be immediately raised and addressed. This can be through e-mail, instant messaging or text messaging. Include e-mail address or mobile number where respondents can send their concerns.*
- *Indicate the deadline for accomplishing and submitting the online survey.*

Conducting the FGD: Points to remember

1. Ensure that participants are seated comfortably and name tents are visible to everyone.
2. Do a final check if there are questions about the objectives and scope of the OA activity.
3. Explain the FGD process, including the documentation that will be made. (Inform the participants should the discussion be tape-recorded.)
4. Re-assure participants of confidentiality of the process and their responses and enjoin them to be open and candid.
5. Solicit and suggest norms to be observed during the FGD.
6. Start the FGD by posing the prepared questions appropriate for target



participants (i.e., non-managerial or middle managers).

7. Ensure that numerical ratings from the survey questionnaire are validated.
8. Facilitate the discussion, ensuring that everyone is heard and all questions are tackled within the time.
9. Encourage interaction among members to generate richer data.

Use procedural suggestions to:

- Manage participants who tend to dominate the discussion. *(Thank you (Name)... Can we also hear from...?)*
- Draw out more quiet participants. *(What about (Name) ...May we hear your thoughts on this?)*
- Keep the group from digressing and get the discussion back on track. *(Interesting sidelights. We have more ground to cover though. Can we now go back to...?)*
- Transition from one FGD question to the next. *(Thank you for your inputs on this. Shall we move to our next question?)*
- Manage the time. *(We hope to cover all the questions in the next hour and a half. So I suggest we devote 10-15 minutes per question. Is that all right with the group?)*

Check for understanding to:

- Ensure accurate understanding of a participant's input, especially ambiguous or complex statements. *(Do I get it right that...?)*
- Minimise confusion or potential debate as a result of opposing views. *(Let me just clarify. For (Name)... But for the others... Am I correct?)*

Ask follow-up questions to:

- Probe general statements. *(Can you share more details about...?)*
- Seek examples or critical incidents. *(Can you cite a specific incident when you observed this?)*
- Generate balanced information. *(You mentioned a particular incident when the system did not work out. Has there ever been a situation when it worked out well?)*



The facilitator needs to maintain a neutral stance throughout the discussion. As such, s/he should refrain from agreeing or disagreeing verbally or non-verbally to what was said, making statements that may be misconstrued as favouring particular responses, or sharing her/his own thoughts and opinions about the topic.

Conducting the KII: Points to remember

1. Explain to respondent the focus of the interview (organisational environment, change agenda and OA pillars) and how much time the interview will take.
2. Inform respondent that you (or your partner) will take notes during the interview to ensure accurate documentation.
3. Ask the planned questions in the interview guide. Listen attentively though as respondent might have covered some planned questions in earlier responses.
4. Paraphrase or recast questions if questions seem confusing to respondent.
5. Pause, and allow respondent to gather thoughts.
6. Use appropriate process skills (procedural suggestions and check for understanding), as necessary.

3. WRAP UP

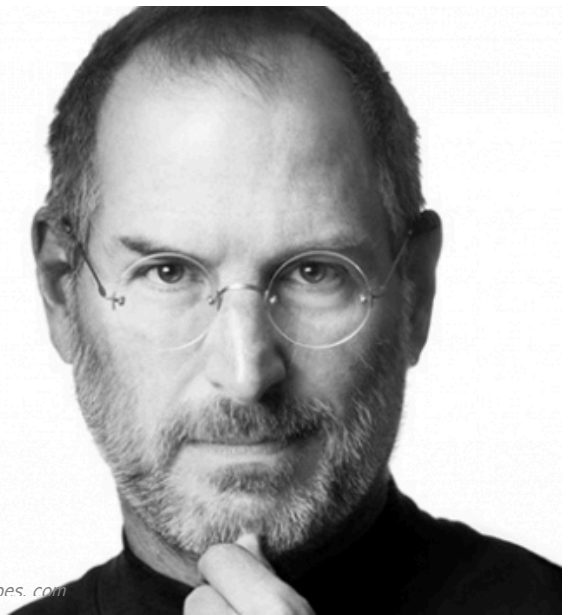
After spending considerable time participating in an OA activity, it is reasonable to expect that participants have the need to be recognised for their contribution and be informed of what would happen next. The OA team should endeavour to close the data gathering activity on a high note by:

1. Acknowledging what has been accomplished during the activity and the value of the participants' inputs.
2. Sound off participants that the OA team may need to get in touch with them again to clarify certain areas or get additional data.
3. Inform participants of the next steps in the OA.
4. Thank the respondents for their engagement.

Get your thinking clean to
make it simple.



Steve Jobs
1955-2011



www.forbes.com

DATA ANALYSIS

By this time, the OA team has collected and documented a large amount of data from various sources using multiple methods. The team's next challenge is how to make sense of the data so that the organisation can reap optimum benefit from the OA process.

Data analysis is the process of reducing data to a story and its interpretation.

*- LeCompte and Schensul
(1999)*

Three key things happen during data analysis:

1. *Data are organised.* This is sometimes referred to as data preparation or clean-up. Raw data is assembled in a manner that will facilitate analysis. This involves encoding of quantitative data and transcription of qualitative data.
2. *Data are reduced.* The OA framework is used as reference in categorising and summarising data. Numbers are reduced or converted to meaningful format (e.g., central tendency) and converted to visual displays like charts or tables. Numbers are checked against qualitative data.



It is good practice to proceed to data analysis immediately after the data collection step is completed. In this way, the OA team still has good recall of nuances in the process or details provided by respondents, which may have not been captured in the documentation.

3. *Patterns and themes are identified and linked.* Relationships and connections are formed from data collected from various sources using the different methods. Data is compared with standards (captured in the OA framework's rating scale and indicators of the different pillars), and conclusions are developed.

This step is done at three levels:

- Per OA component, i.e., change agenda, and the three pillars of organisational effectiveness (capacities, competencies, and change readiness), to ascertain conclusions that can be reached on the state of each component.
- Across components, i.e., the connections and synergy that can be inferred from the data.
- At the organisation level, i.e., the implications of findings to the organisation's change agenda.

ORGANISING AND REDUCING DATA

Following are some key tasks in sorting and classifying data, and reducing it to a form that will facilitate further analysis and development of conclusions.

1. Survey Questionnaire

- Encode numerical data from the survey in Excel format following the structure of the questionnaire
- Take note of outlier data. (See discussion in Box 25.)
- Use weighted mean to compute the results for each of the indicators in the competencies, capacities, and dimensions of change readiness.
- Compute for the arithmetic mean to get the overall rating score for each capacity, competency and change readiness dimension. Following is an example for a sample size of 20.

		RATING SCALE							
		ovice	Developing	Developed	Proficient	Advanced	Expert		
		3	4	5	6	7	8		
COMPETENCIES								Weighted mean*	
Planning and Policy									
20	The employees develop and implement long- and short-term plans and policy guidelines.			9	5	6			5.85
21	The employees monitor and evaluate their progress and make changes accordingly.		7	7	5	1			5.00
22	The employees consider the interests and needs of both men and women in their plans and programs.				9	9	2	6.65	

Planning and Policy Rating Score (Arithmetic mean of 5.85 + 5.00 + 6.65): **5.83**



*Weighted mean for each indicator is computed by multiplying each of the frequency count with the assigned weight in the rating scale, getting the sum of the products (frequency count x weight), and dividing the sum by the total number of respondents.

20. $(9 \times 5) + (5 \times 6) + (6 \times 7) = 117 / 20 = 5.85$

21. $(7 \times 4) + (7 \times 5) + (5 \times 6) + (1 \times 7) = 5.00$

22. $(9 \times 6) + (9 \times 7) + (2 \times 8) = 6.65$

- Refer to Boxes 23 and 24 to interpret the numbers vis-à-vis the rating scale. (In the above example, Planning and Policy competency is rated as 5.83, or "Proficient.")
- For HRMD, the PRIME-HRM maturity levels will be applied in rating the capacity area, and HRMO proficiency levels will be applied in rating the competency area. (Please refer to Annex C.1 for the maturity and proficiency levels. The

PRIME-HRM Assessment Tool, which contains the formula for computing the ratings may be accessed at <http://govcare.csc.gov.ph/hrmo/>.

Box 23. Interpreting Capacity and Competency Scores

Range of Values	Capacity	Competency
1.00 – 1.50	Non-existent	Non-existent
1.51 – 2.50	Reactive	Emergent
2.51 – 3.50	Rudimentary	Novice
3.51 – 4.50	Purposive	Developing
4.51 – 5.50	Enforced	Developed
5.51 – 6.50	Aligned	Proficient
6.51 – 7.50	Refined	Advanced
7.51 – 8:00	Sustained	Expert

Box 24. Interpreting Change Readiness Scores

Range of Values	Change Readiness
1.00 – 1.75	Low
1.76 – 2.50	Fair
2.51 – 3.25	Good
3.26 – 4.00	High

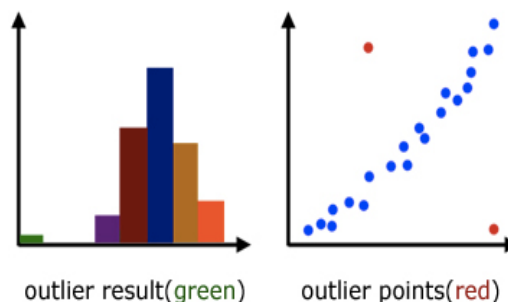
- Gather all comments that respondents have written on the survey questionnaire and organise together with other qualitative data from FGD and KII activities.



Outliers are observations that appear to deviate markedly from other members (or values) of the sample in which they occur. An example is a capacity indicator where responses clustered around “5-6-7” in the rating scale, except for one respondent that rated the indicator as one.

Box 25. Examples of Outlier Data

While it can be tempting to drop outliers for fear that they will distort the result of the OA, it is not acceptable to drop an observation just because it is an outlier. Outliers can be legitimate observations and can offer valuable insights to certain OA dimensions when further probed. An outlier data can be dropped though if it is clear that an error has been committed when accomplishing the survey questionnaire.^k



2. FGD and KII

- Transcribe all FGD and KII data. Sift through transcribed data and cull all that are relevant to OA areas. Cluster related data and categorise according to OA elements on change readiness, capacity and competency areas.
- Put together data related to change agenda and the organisation’s environment.

Highlight significant data that can be used to support numerical rating:

- Directly supportive of OA areas because of clear alignment with indicators
- Recent, i.e., within the last three years (the more recent, the better)
- Evidence-based (as opposed to hearsay or assumptions)

3. Documents review

- Cull relevant data from organisational documents that can support assessment of different OA areas, including change agenda and organisational environment.
- Examine samples of outputs that can support assessment of capacity and competency areas, using the indicators. These include manuals, guidebooks, reports, documentation of systems, policies, etc.

4. Representing data

Both quantitative and qualitative data can already be captured in a form that will facilitate succeeding steps in data analysis.



- Textual data may be presented in paragraph form, listed form (i.e., bulleted or numbered), or tabular form (i.e., rows and columns)
 - Numerical data can be presented in graphical form (e.g., pie or bar chart, scatter diagram, etc.)
5. Match numerical rating with qualitative data gathered from the FGD, KII, comments of respondents from the survey questionnaire, and documents review.
- Determine whether quantity and qualitative data supports numerical rating.
 - Identify areas of divergence that need to be further probed.



In case of disagreement between quantitative and qualitative data, the OA team may address this by: 1) gathering additional data or verifying data that has been earlier provided by respondents by way of asking probing questions; and 2) careful examination of documented evidences (i.e., outputs, reports, etc.) that can indicate competency, capacity and change readiness levels.

The OA team has to be especially thorough in putting together and presenting hard evidences if there are indications that a numerical rating does not reflect an accurate assessment of a particular area based on qualitative data gathered. Any suggested modification in numerical rating has to be presented to key stakeholders (top management and representatives of respondents) supported by a robust set of evidences, to facilitate buy-in.

IDENTIFYING PATTERNS AND THEMES AND MAKING CONCLUSIONS

This step in data analysis is more complex and less straightforward than the previous steps as it requires interpretation and making sense of data so that assessment conclusions can be reached. As part of analyst triangulation, the entire OA team should be involved.

This is done in an iterative manner, as it is necessary to present initial findings to key stakeholders (e.g., top management, and offices responsible for certain capacity/competency areas) to validate or solicit their “take” or perspectives. Aside from being part of analyst triangulation, this also helps build buy-in to the results of the OA.

This is also the step where concerns about representativeness of data, effects of the OA team’s (as researchers) style in data gathering, outlier data, and extraneous variables, etc. are considered and made part of the analysis.

What is the data telling us?
What do we make out of the data?



Viewing the Organization as a Total System

The organization has to be viewed as a total dynamic entity or living system when analysing OA data. Just like any system, a part affects the way other parts function, and the way all parts work together determine how well the system works.

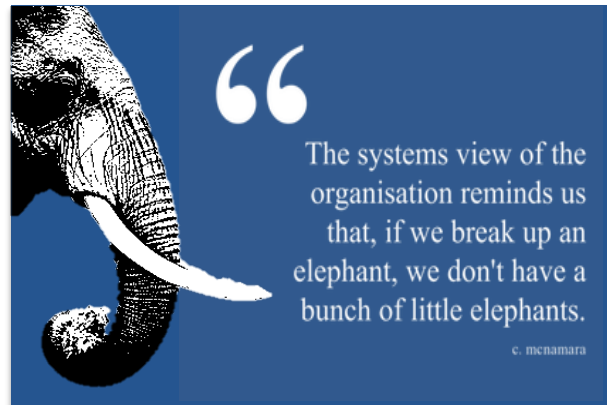


A system is a collection of parts (or subsystems) integrated to accomplish an overall goal. Systems have input, processes, outputs and outcomes, with ongoing feedback among these various parts. If one part of the system is removed, the nature of the system is changed.

(<http://managementhelp.org/organizations/systems.htm>)

The PAHRODF C-C3 OA Model highlights certain capacities, competencies and change readiness dimensions. Following the systems view of the organisation, it is vital that the OA looks at these three pillars not as disparate components but as parts that work together to bring about results or performance. Nonetheless, these pillars and their corresponding sets of indicators are initially examined separately to understand the current state of each pillar. This is the first level of analysis.

The OA team then needs to take a broader perspective and see how the different pillars are linked, and how they affect the organisation's overall functioning. This perspective allows the OA team to arrive at a more meaningful and integrated organisational assessment that will be the basis for recommending relevant interventions. This can prevent isolated and piecemeal recommendations that target only a specific part (e.g., a competency), without considering how this will affect the other parts or the organisation as a whole.



Analysis of Change Agenda and Organisational Environment

The *HRODF C-3C OA Model* puts the organisation's change agenda at the centre of the framework. A critical part of the OA is revisiting the organisation's mandate, strategic thrusts and priority goals, and recognising and assessing forces in the organisation's environment and how these impact on the organisation.

Key information that has to be established include:

- The organisation's mandate, mission and vision
- Strategic goals and directions
- Priority reform areas and programs
- Status of and gains from recent and ongoing HROD interventions supportive of reform areas
- Developments in the organisation's internal or external environment that have affected or are expected to affect the organisation's goals and business (e.g., new legislation, executive orders, political events, change in leadership, et.)

Analysis of Pillars

Conclusions regarding the organisation's level of capacity, competency and change readiness have to be supported by sufficient quantitative and qualitative evidences. The OA Team is expected to discuss and validate the final assessment of the areas in the three pillars with the organisation's management and key stakeholders.

This three-stage process 1) taking apart the thing to be understood, 2) trying to understand the behaviour of the parts taken separately, and 3) trying to assemble this understanding into an understanding of the whole, is a basic method of inquiry known as analysis.

R. Ackoff

1. Capacity pillar. In analysing organisational capacities, the following are established by interpreting quantitative and qualitative data:

- *Areas of strength: Refined/Sustained*

An organisational capacity is considered an area of strength if it has a rating score that ranges from 6.51-8.00 in the survey questionnaire, and there are supportive evidences that processes and mechanisms are regularly improved, sustained and regarded as best practices. The organisation is able to produce all expected outputs and outcomes in the capacity area.

- *Areas of adequacy: Enforced/Aligned*

An organisational capacity is considered as an area of adequacy if it receives a rating score that ranges from 4.51-6.50 in the survey questionnaire, and qualitative data confirms that there are processes and mechanisms that are fully functional and implemented in a consistent, integrated and strategic manner. The organisation is able to produce most of the outputs and services expected from the capacity area.

- *Minor areas for improvement: Rudimentary/Purposive*

A rating score of 2.51-4.50 in the survey questionnaire points to opportunities for improvement in the capacity area. Evidences may indicate that there are processes and mechanisms, but these are not fully functional or consistently implemented. It is also possible that some capacity indicators are missing. Outputs and outcomes are still limited.

- *Major areas for improvement: Non-existent/Reactive*

A capacity area that receives a rating score of 1-2.50 in the survey questionnaire is a major area for development. This is confirmed by qualitative data that indicates either the absence of processes and mechanisms, or activity-based responses to demands or crisis situations. No outputs or outcomes are produced by the organisation.

Please refer to Box 26 for the Capacity rating scale and interpretation.

For the HRMD capacity area, use the PRIME-HRM standards and maturity levels in analysing and interpreting the data. These are contained in the PRIME-HRM Assessment Tool.

Box 26. Capacity Rating Scale and Interpretation

Range of Values	Description	Definition	Capacity Level	Interpretation
7.51 – 8:00	Sustained	Mechanisms and processes used with success over a period of time; value in achieving the organization's mandate measured. All outputs and outcomes are evident.	8	Area of Strength
6.51 – 7.50	Refined	Mechanisms and processes are regularly reviewed and enhanced; considered as innovative and best practice. All outputs and outcomes are evident.	7	
5.51 – 6.50	Aligned	Mechanisms and processes are integrated with other systems in the organisation, and fully aligned with key strategic and operational goals. Most outputs and outcomes are evident.	6	Area of Adequacy
4.51 – 5.50	Enforced	Fully functional and consistently implemented mechanisms and processes. Most outputs and outcomes are evident.	5	
3.51 – 4.50	Purposive	Mechanisms and processes are planned and responsive to the needs of the organization, but not consistently implemented. Some outputs and outcomes are evident.	4	Minor Area for Improvement
2.51 – 3.50	Rudimentary	Some basic mechanisms and processes are in place but not fully functional. Few outputs and outcomes are evident.	3	
1.51 – 2.50	Reactive	Activity based. No systematic mechanisms and processes. Outputs and outcomes are not yet evident.	2	Major Area for Improvement
1.00 – 1.50	Non-existent	Absence of mechanisms and processes	1	

2. Competency pillar. Just like the capacity pillar, analysis of the competency pillar involves analysing quantitative and qualitative data to establish:

- *Areas of strength: Advanced/Expert*

A rating score of 6.51 – 8.00 in the survey questionnaire, supported by evidences that job performers are consistently demonstrating the indicators and producing the desired results, indicates that the competency is an area of strength. There is solid data that individuals, groups or units that have to demonstrate the competency in the performance of the jobs are able to do so with noticeable advanced knowledge and skills, or expert mastery of the competency area.

- *Areas of adequacy: Developed/Proficient*

A competency that has a rating score of 4.51 - 6.50 in the survey questionnaire is considered an area of adequacy. The score should be

supported by qualitative data that job performers are demonstrating majority if not all critical success factors, and are producing outputs that meet standards.

- *Minor areas for improvement: Novice/Developing*

A competency that receives a rating score of 2.51 – 4.50 in the survey questionnaire presents opportunities for minor improvement. Evidences show that job performers are already demonstrating some or even many of the critical success indicators, though outputs still need refinement.

- *Major areas for improvement: Non-existent*

Considered as major areas for improvement are competencies with rating score of 1.00 – 2.50 in the survey questionnaire. Supporting qualitative data indicate that most, if not all critical success indicators have not been demonstrated by job performers who are expected to do so. There are also clear evidences that outputs do not meet standards.

Please refer to Box 27 for the Competency rating scale and interpretation, except for the HRMD competency area, which is analysed and interpreted using the PRIME-HRM standards and maturity levels.

Box 27. Competency Rating Scale and Interpretation

Range of Values	Description	Definition	Competency Level	Interpretation
7.51 – 8:00	Expert	Key officers/staff have expert knowledge, training or experience, and can coach and train others in the competency. All Critical Success Indicators are being performed in a consistent and sustained manner. Outputs and processes regularly reviewed and refined, and considered best practice.	8	Area of Strength
6.51 – 7.50	Advanced	Key officers/staff have advanced knowledge, training or experience in the competency. All Critical Success Indicators are being performed in a consistent and sustained manner. Outputs/processes reviewed and refined.	7	
5.51 – 6.50	Proficient	Key officers/staff have adequate knowledge, training or experience in the competency. All Critical Success Indicators are being performed; outputs/processes meet standards.	6	Area of Adequacy
4.51 – 5.50	Developed	Key officers/staff have adequate knowledge, training or experience in the competency. Many Critical Success Indicators are being performed; most outputs/processes meet standards.	5	

3.51 – 4.50	Developing	Key officers/staff have some knowledge, training or experience in the competency. Many Critical Success Indicators are being performed but outputs and processes still need refinement.	4	Minor Area for Improvement
2.51 – 3.50	Novice	Key officers/staff have some knowledge, training or experience in the competency. Some Critical Success Indicators are being performed; outputs and processes need improvement.	3	
1.51 – 2.50	Emergent	Key officers/staff have very limited knowledge, training or experience in the competency. Few Critical Success Indicators are being performed; outputs and processes need substantial improvement.	2	Major Area for Improvement
1.00 – 1.50	Non-existent	Key officers/staff have no prior knowledge, training or experience in the competency. All Critical Success Indicators are not being performed.	1	

The PRIME-HRM Assessment Tool (available at <http://govcare.csc.gov.ph/hrmo/>) has a built-in process for computing the rating for the four HRMD systems and HRMO competency. After completing the assessment, the agencies would receive feedback on the maturity levels of each of the HRMD systems (Box 28).

Box 28. PRIME-HRM Maturity Level Definitions

Level	Description	Definition
4	Strategic HRM	HR processes are focused on continually improving process performance. It is also systematically managed by a combination of process optimization and continuous improvement. At this level, HR helps to drive agency business decision on people, data, and insight. HR strategy is already part of the agency strategy.
3	Integrated HRM	Uses process metrics for continuous improvement, an HR management toolkit, and data-driven decision making. HR function supports agency business needs.
2	Process-Defined HRM	There is a set of defined and documented SOPs established, though it needs improvement. It is characterized by goal-oriented decision making. There is some automated system but little integration of data.
1	Transactional HRM	HR assumes personnel function that is mostly separate from agency/business and talent needs.

Similarly, the Assessment Tool computes for the HRMO proficiency level after the agency has completed the assessment (Box 29).

Box 29. PRIME-HRM HRMO Proficiency Level Definitions

Level	Description	Definition
4	Superior	Considered as expert in this task; can teach and lead others
3	Advanced	Performs complex and multiple tasks; can coach or teach others
2	Intermediate	Performs routine tasks with reliable results; works with minimal supervision
1	Basic	Understands basic principles; can perform tasks with assistance or direction





Although a different set of assessment tool and rating scale are used for HRMD, the four HR systems will have to be analysed together with the other capacity areas, and the HRMO proficiency together with the other competency areas, especially when the interaction and congruence of the different pillars are considered. (See discussion below.)

3. Change Readiness

The following dimensions are examined in the assessment of the organisation’s change readiness:

- Vision and Change Agenda
- Executive Sponsorship
- Track Record for Implementing Reforms/Changes
- Absorptive Capacity of the Organisation for the Reform
- Level of Awareness and Desire for Change
- Level of Knowledge and Ability for Change

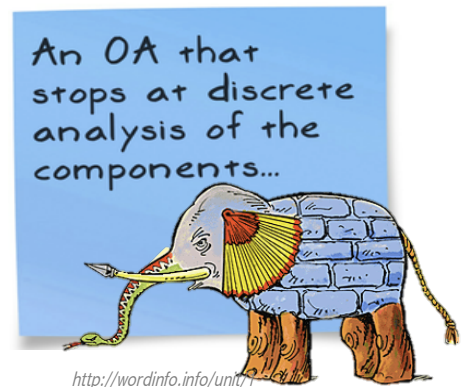
Box 30. Change Readiness Scale and Interpretation

Range of Values	Description	Readiness Level	Interpretation
3.26 – 4.00	All key factors for success are present. Ready to proceed.	4	High
2.51 – 3.25	Most key factors for success are present, or with minor issues. Requires minimal preparation and support before proceeding.	3	Good
1.76 – 2.50	Some key factors for success are present. Requires substantial preparation and support before proceeding	2	Fair
1.00 – 1.75	All or most key factors for success are absent or very weak. Requires extensive preparation and support before proceeding.	1	Low

These dimensions are examined separately as a first step, and an overall evaluation of the organisation’s change readiness is made based on numerical ratings and qualitative evidences. An overall evaluation of organization’s Change Readiness is made, considering the ratings in the different Change Readiness factors.

Analysing Interaction of OA Pillars

The analysis of the capacity and competency areas and change readiness dimensions provide a good indication of the state of the three pillars. Stopping at this level of analysis though can be likened to the six blind men who got to “know how an elephant looks like” just by touching a specific part of the



beast: “Like a rope!”- says the one who grabbed the tail. “Like a wall!” - exclaims the one who touched the side. “No, like a fan!” – claims the one who felt the ear.

A further look into the interactions of these pillars and their present and potential impact on the organisation’s change agenda will make the OA more cohesive and meaningful.

Establishing Congruence of the 3 Pillars

This process involves synthesis, which is more than putting things back together again after they have been taken apart. It means understanding how things work together. It involves checking the congruence or fit between and among the pillars of organization effectiveness. For instance, the greater the match between competencies and organizational capacities, the better the organizational performance will be, and the greater the possibility of achieving the organisation’s change agenda. (Box 31 shows areas of congruence that need to be analysed.)

Box 31. Areas of Congruence

Areas of Congruence	Some Questions to Ask
Capacities - Competencies	<ul style="list-style-type: none"> • Does data indicate congruence between the level of capacity and corresponding competency? (For example: Capacity on Planning and Policy is assessed as Aligned, and Competency on Planning and Policy is assessed as Proficient.) • Do individuals, groups or units have the needed competencies to develop, install and implement systems and processes in the critical capacity areas? • Are there inconsistencies? What could have caused these? What is the impact of these incongruences on people and the organisation? (For example: Competency on HRD is assessed as Advanced, but examination of HRMD capacity, particularly on Learning and Development is assessed as Rudimentary.)
Capacities – Change Readiness	<ul style="list-style-type: none"> • Does data reflect congruence between level of capacities and change readiness? (For example, Capacity on Leadership and Management is assessed as Refined or Sustained, and Change Readiness dimension on Executive Sponsorship is rated High.) • Are there systems and processes appropriate for the level of change readiness? (For example, HRMD sub-systems that support the Absorptive Capacity for Reform and Level of Knowledge and Ability for Change.) • Are there inconsistencies? What could have caused these? What is the impact of these incongruences on people and the organisation?
Competencies – Change Readiness	<ul style="list-style-type: none"> • Is there congruence of assessment of change readiness and competencies? (For example, Competency on Leadership and Management is rated as Advanced, and the dimensions on Executive Sponsorship and Vision and Change Agenda are assessed as Good or High.) • Do the people and the groups have the right level of competencies for the level of Change Readiness? (For example, Track Record for Implementing Reforms is

	<p><i>assessed as Good or High, and Competency on Planning and Policy, particularly Project Planning and Management, and Monitoring and Evaluation, is assessed as Proficient.</i></p> <ul style="list-style-type: none"> • Are there inconsistencies? What could have caused these? What is the impact of these incongruences on people and the organisation?
<p>Competencies – Capacities – Change Readiness</p>	<ul style="list-style-type: none"> • Is there synergy among the three pillars? Does the data indicate how the three pillars support each other and contribute to current organisational performance? • What areas of synergy are working well? • What is missing? What is the impact on people and the organisation?

The Change Agenda and the 3 Pillars

The state of the three pillars and their synergy (or the lack of it) will also have to be examined in terms of the impact on the organisation's change agenda.

It can be expected that when the three pillars are strong (or at least adequate), and work in synergy, high organisational performance is promoted thus advancing the organisation's change agenda. However, when the three pillars or a component is not functioning well, this can negatively impact the organisation's performance.

Some questions to ask in establishing the synergy of the 3 pillars and the change agenda:

- Are there adequate organisational capacities and competencies to pursue the change agenda?
- How ready are individuals, units and the organisation to pursue reforms?
- What is working well (in the 3 pillars) that can be capitalized on?
- Where are the glitches? What are priority areas that need to be strengthened?
- Based on the assessment of the four HRMD systems, what maturity level will the agency target to achieve in the next year? In the next two years?
- What HRMO proficiency level will the agency target to meet in the next year? In the next two years?
- Where should the organisation put its investment in terms of HROD?



If we keep doing what we're
doing, we're going to keep
getting what we're getting.

Stephen Covey
Author, 7 Habits of Highly Effective People

Developing Recommendations

The OA results become the foundation for identifying and developing HROD interventions that will help the organisation achieve its goals along the change agenda. These can be in the form of HROD interventions that will respond to major areas for improvement in the capacity and competency pillars. Interventions for HRMD capacity and competency areas should address the gap from the current maturity and proficiency levels and help move the agency towards its target levels.

Identifying HROD Interventions

The OA team will have to collaborate with management and key stakeholders in identifying appropriate HROD interventions. Following are some considerations:

- Appropriateness and cost effectiveness of proposed HR/OD interventions in addressing identified organizational capacity and competency gaps
- Alignment of proposed HR/OD interventions with the organization's five-year strategic plan and HRMD plan
- Effectiveness of targeting the units, teams, and/or individuals in contributing to the implementation of the change agenda
- Complementation of interventions with existing systems and programs
- Sustainability of proposed interventions
- Articulated preference of top level sponsors
- For PAHRODF sponsored HROD interventions, contribution to the goals of the Australia-Philippines Statement of Commitment

Box 32. 70-20-10 Interventions

70%: Workplace learning	20%: Social learning	10%: Structured learning
<ul style="list-style-type: none"> • Learning from hands-on experience or learning in the workplace • Shadowing • Job enlargement • Cross-posting • Job rotation • Special job assignments • Benchmarking • Exposure/Field visits • On-the-job training • Work Improvement Teams 	<ul style="list-style-type: none"> • Interaction with people • Coaching • Mentoring • Behavior modeling • Feedback <ul style="list-style-type: none"> • Performance discussions • Recognition of good performance • Conversations (interpersonal and inter-departmental) • Communities of practice 	<ul style="list-style-type: none"> • Training and education • Training Programs <ul style="list-style-type: none"> • Face-to-face • Web-based • Blended • Education programs (advanced studies) • Self-study programs (e-learning) • Professional conferences • Reading self-selected books

When identifying HROD interventions, the OA team should consider the 70-20-10 principle of learning and development, which indicates that most (70%) of what people learn are a result of workplace experiences. Some learning (20%) happen from interaction with people, and limited learning is acquired from formal classroom or structured learning.¹ Box 32 shows a range of interventions clustered according to 70-20-10 principle.

Prioritising and Programming HROD Interventions

The OA Team, in consultation with the organization's top management and process owners shall develop a proposed three-year programming of the prioritized HR/OD interventions for final approval of management. Following are some criteria in prioritising and programming:

- Urgency to implement the proposed intervention (due to time-sensitive requirement to close a particular capacity/competency gap)
- Sequencing, using the building blocks approach to learning and development (i.e., some basic or foundational interventions will have to be implemented first for some target groups)
- Absorptive capacity of the organization and target units and individuals to undertake the interventions
- Quick wins or immediate impact/results that the proposed intervention can produce so as to create a positive momentum for change
- Multiplier effects of the proposed intervention (i.e., can it contribute to improving other capacity or competency areas)

REPORT WRITING AND PRESENTATION

How the findings of the OA are captured in writing and presented to the target audiences will determine to a large extent the actions that the organisation will take. The report and its dissemination will also contribute to the organisation's knowledge building and continuous improvement efforts.

WRITING THE REPORT

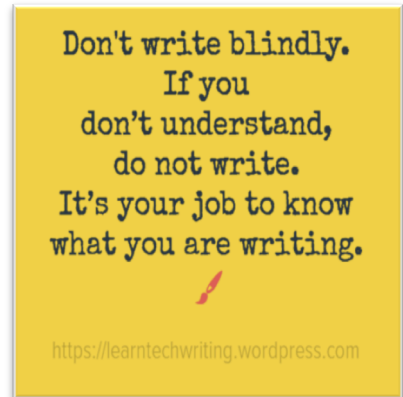
To facilitate report writing, the PAHRODF has developed a template that will help the OA team organise and capture salient data. The major content areas of the template have been annotated to guide the team. (*Please see Annex D.*)

The OA report has the following elements:

1. Part 1: Executive Summary
2. Part 2: Basic Information on the Organisation
3. Part 3: Summary of OA Findings
 - Change Agenda (including assessment of organisational environment)
 - Assessment of Pillars of Organisational Effectiveness (Capacities, Competencies and Change Readiness)
4. Part 4: Integrative Analysis and Recommendations
5. Part 5: Proposed HROD Interventions
6. Part 6: Annexes and References

In preparing the OA report, the team should be mindful of the following:

1. Criteria for OA output (*discussed in Box 4*):
 - Complete
 - Evidence-based
 - Cohesive
 - Validated and owned
2. Basic principles and rules of business and technical writing as the OA report is an official business document^m:
 - Write for the audiences of the report.
 - Understand what you are writing about.
 - Write concisely.
 - Be consistent.
 - Avoid long sentences.
 - Use correct grammar.
 - Observe standard punctuation.



PRESENTING THE REPORT

This is one of the final steps in the OA process. It can also be one of most challenging for the OA team, as different audiences may have different reactions to the OA report. The goal is to be able to communicate the findings and gain acceptance of top management, process owners, and other stakeholders.

Key Tasks

1. Arrange for a presentation meeting with top management and other audience members. Depending on organisational culture and protocols, there could be several presentation meetings.

2. Send out official invitation to the presentation, citing the objective of the meeting.
3. Prepare presentation materials
4. Facilitate the presentation and discussion.
5. Document the presentation meeting.
6. Refine the OA report, if necessary.
7. Have the head of agency approve and sign off the OA report.

Outputs

1. Memorandum inviting audience members to the presentation
2. Presentation materials
3. Documentation of the presentation
4. Final report, if some refinements need to be done
5. Signed off OA report

POST-OA DEBRIEFING AND EVALUATION

The last step in the OA process allows the OA team to step back, review and reflect on what happened. The goal is to generate lessons from the experience and to use these in improving the conduct of future organisational assessment activities.

All members of the OA team should be present in the debriefing session, which can be facilitated by any of the members, or an external facilitator. Following are key discussion points:

- Revisiting the experience: What are the major activities that we undertook from beginning to end of the OA process?
- Reflecting on the experience:
 - What went well? What helped?
 - What did not go so well? What were the constraints?
 - How did we manage or address these constraints?
- Learning from the experience:
 - What lessons can we draw from these?
 - What could we have done differently?
- Applying lessons from the experience:
 - What improvements will we make in the conduct of the next OA?
 - What will we do differently?





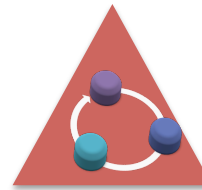
An organisation's ability to learn, and translate that learning into action rapidly, is the ultimate competitive advantage.

Jack Welch
Former CEO, General Electric

viii. Annexes



A.1. ORGANISATIONAL CAPACITY INDICATORS



Capacity Area/ Definition	Critical Success Indicators			
	Input	Thru-put	Output	Outcome
<p>Planning and Policy</p> <p>Capacity to identify and anticipate strategic challenges and directions of the organization, develop, execute and evaluate plans, and mobilize resources to meet these. Capacity to optimize planning processes and tools as instruments for organizational change and achieving strategic results.</p>	<ul style="list-style-type: none"> Effectiveness of required planning structure (e.g. Local Finance Committees, Local Development Council) Effectiveness of required policy support in the implementation of the Strategic Plan Adequacy of sex- disaggregated database to support planning process 	<ul style="list-style-type: none"> Effectiveness of the planning process (e.g. environmental scanning, planning, revenue generation, budgeting, project implementation, monitoring and evaluation) Extent of deployment of the plans; (e.g. strategic plans translated to operational plans and cascaded to individual plans) Extent of participation of targeted stakeholders in the planning process and outputs 	<ul style="list-style-type: none"> Responsiveness of strategic plan(s) (e.g. Local Development Plan, Revenue Generation Plan etc.) to the needs of the organization Responsiveness of policies supporting the implementation of the plan/reform agenda 	<ul style="list-style-type: none"> Extent of use of the plans as bases for organization evaluation and continuous improvement; Extent of sustainable completion of strategic work unit targets; Extent of sustainable completion of organization targets Extent of compliance to policy guidelines
<p>Leadership and Management</p> <p>Capacity to create and nurture an organizational culture and environment that promotes peak performance and continuous improvement. Capacity to harness and focus resources and energies to support the achievement of the organization's mandate.</p>	<ul style="list-style-type: none"> Effectiveness of a leadership framework Effectiveness of guidelines and policies reinforcing shared leadership (e.g. presence of standards setting, coaching and mentoring, rewards systems) 	<ul style="list-style-type: none"> Effectiveness of the planning process as leaders (e.g. setting directions, aligning objectives, allocating resources, individual performance planning, programming & scheduling, administering policies and procedures) Effectiveness of leading and controlling processes as leaders (e.g. setting standards, measuring and evaluating performance, performance, taking corrective actions); Effectiveness of organizing process as leaders (e.g. designing work processes, delegating, strengthening others, fostering collaboration) Effectiveness of mechanisms for leadership development 	<ul style="list-style-type: none"> Clarity of the strategic directions e.g. vision, mission, strategies, values, operational plans Extent of deployment of operational plans to individual plans Extent of alignment of individual plans with operational and strategic plans; Effectiveness of performance measurement and evaluation system 	<ul style="list-style-type: none"> Extent of sustainable completion of organization targets based on a 2-year track record Extent of continuous improvement of leadership processes/systems

<p>Knowledge Management and Performance Improvement</p> <p>Capacity to build and manage knowledge assets to facilitate achievement of strategic goals and promote continuous improvement and organizational sustainability.</p>	<ul style="list-style-type: none"> • Alignment of knowledge /performance management framework with the strategic directions of the organization • Required hardware (computers, etc.) in place • Required software (e.g., HRIS, GIS, etc.) systems functioning 	<ul style="list-style-type: none"> • Effectiveness of mechanisms for selecting and use of key data and information to support operational and strategic decision making and innovation • Effectiveness of mechanisms for keeping performance measurement system current with organization needs and directions; • Effectiveness of mechanisms for assessing organizational performance • Extent of deployment of knowledge to targeted internal and external stakeholders 	<ul style="list-style-type: none"> • Quality of database (e.g. reliability, accuracy, integrity, timeliness, security, confidentiality of data) • Quality of information /knowledge generated from performance monitoring and evaluation • Access of stakeholders to database and information 	<ul style="list-style-type: none"> • Information/knowledge gained is used as basis for organization continuous improvement • Information/knowledge is shared to and used by external stakeholders
<p>Stakeholder Relations</p> <p>Capacity to establish, strengthen and mobilize external stakeholder support to achieve organization's mandate</p>	<ul style="list-style-type: none"> • Quality of profiling of targeted stakeholders • Clarity of shared agenda among targeted stakeholders • Adequacy of resources for establishing, strengthening and mobilizing external stakeholder support 	<ul style="list-style-type: none"> • Effectiveness of the process for determining key stakeholder requirements • Effectiveness of mechanisms for complementation of resources provided by various stakeholders • Effectiveness of mechanisms for joint implementation of shared agenda • Effectiveness of defining, monitoring and evaluating performance indicators for linkages and partnership • Extent of deployment of partnership shared vision and strategies 	<ul style="list-style-type: none"> • Sustainability of linkages/networking formed 	<ul style="list-style-type: none"> • Attainment of shared targeted results • Extent of implementation of continuous improvement of network/ linkages
<p>Gender and development</p> <p>Capacity to analyse organization realities with gender perspectives; Capacity to address gender issues in the organization; Capacity to monitor and evaluate programs, policies with gender lens</p>	<ul style="list-style-type: none"> • Effectiveness of the GAD focal point (refers to unit or person); • Responsiveness of GAD Plan to identified gender-related issues in the organization • Amount of GAD Budget • Responsiveness of GAD policies 	<ul style="list-style-type: none"> • Effectiveness of GA mainstreaming process • Extent of deployment of GAD plan, strategies and policies 	<ul style="list-style-type: none"> • Quality of updated sex-disaggregated database • Responsiveness of programs and projects to differences in needs and interests of women and men • Extent of use of sex- disaggregated data • Level of participation of women and men in programs and projects • Extent of deployment of GAD plan, strategies and policies 	<ul style="list-style-type: none"> • Extent of benefits of programs and projects to women and men • Access to programs and projects by women and men • Quality of benefits of programs and projects to women and men

A.2. COMPETENCY INDICATORS



Competency/Definition	Key Performance Areas	Critical Success Indicators
<p>Planning and Policy</p> <p>Ability to develop, deploy, and implement strategic and operational plans and policy guidelines. Ability to monitor and evaluate plan implementation and accomplishments, and to use results to ensure that planning and project management processes are always responsive to strategic needs</p>	<p>1. Strategic Planning</p> <p>Applying appropriate tools and processes (e.g., multi-stakeholder consultation, etc.) in defining the organization's strategic directions and investments</p>	<ul style="list-style-type: none"> • Applies relevant framework and techniques for scanning the organization's environment and context • Clarifies organization's fundamental purpose and desired level of performance • Determines organization's desired future state, and formulates goals and strategies • Defines milestones, success indicators, and monitoring and evaluation mechanisms
	<p>2. Operational Planning</p> <p>Applying appropriate techniques and processes in identifying short-term objectives, implementation activities, and resources to achieve milestones in the organization's strategic plan</p>	<ul style="list-style-type: none"> • Develops SMART (Specific, Measurable, Attainable, Results- Oriented, Time-Bound) objectives • Maps out activities and implementation timetable • Determines resource requirements (e.g., staffing, budget, etc.) • Defines performance standards, outputs, and monitoring and evaluation mechanisms
	<p>3. Investment Programming</p> <p>Applying appropriate tools and processes, and observing government policies/guidelines in planning the financing and timing of investments in a way that will yield optimum benefits to the organization's clients</p>	<ul style="list-style-type: none"> • Identifies, classifies, and prioritizes development investments • Determines value and duration of resource commitments • Determines organisation's investment financing capacity • Prepares investment financing plan and schedule • Generates buy-in of investment plan among key stakeholders • Develops monitoring and evaluation mechanisms
	<p>4. Budgeting:</p> <p>Applying appropriate tools and processes, and observing government policies/guidelines in developing annual budget that supports the accomplishment of the organization's strategic goals</p>	<ul style="list-style-type: none"> • Reviews plans and programs/projects, and identifies items for budgeting • Harmonizes planned expenditures with projected revenues/funds, and ensures that mission-critical plans and programs/projects are prioritized for budgeting • Generates buy-in of proposed budget among key stakeholders and decision-makers

Competency/Definition	Key Performance Areas	Critical Success Indicators
	<p>5. Project Planning and Management</p> <p>Applying appropriate tools and processes in project initiation and planning, execution, monitoring/ control, and evaluation</p>	<ul style="list-style-type: none"> • Analyses business requirements to determine project nature and scope • Conducts cost-benefit and stakeholder analyses • Determines project deliverables, work breakdown structure and tools, and budget requirements • Conducts risk analysis and mitigation planning • Coordinates people and resources, and executes project activities as planned • Develops monitoring and evaluation mechanisms • Monitors project variables (cost, effort, scope, etc.) against the project management plan and takes appropriate measures to keep projects on track
	<p>6. Monitoring and Evaluation (M&E)</p> <p>Applying appropriate and innovative tools and processes in planning, designing, and executing a system for monitoring implementation of plans, programs and projects, and evaluating accomplishments and results</p>	<ul style="list-style-type: none"> • Defines M & E parameters (i.e., purpose and objectives, scope, timing, stakeholder participation, etc.) • Validates measurement standards (from plans and programs) • Determines data sources and collection methods • Maps out M and E plan and schedules • Plans, organises, and mobilises resources for M and E, and executes M and E plan • Analyses and reports M and E results to management and key stakeholders • Uses M and E results to improve planning and program/project management processes
	<p>7. GAD Analysis and Planning</p> <p>Integrating gender concerns into the planning, design, implementation, monitoring and evaluation of policies, programs and projects</p>	<ul style="list-style-type: none"> • Designs and uses sex-disaggregated database to support planning processes • Analyses gender issues in relation to access, participation, and benefits to women and men • Formulates GAD-responsive strategies and policies • Plans, executes, and evaluates programs and projects that promote gender equality

Competency/Definition	Key Performance Areas	Critical Success Indicators
<p>Leadership and Management</p> <p>Ability of executives, managers, and supervisors to guide and energize people to achieve performance targets in line with a set of shared organizational vision, mission, values, goals (VMVG) and performance parameters</p>	<p>1. Visionary and Strategic Leadership</p> <p>Creating and pursuing a clear and inspiring organizational vision and direction that supports the organisational mandate.</p>	<ul style="list-style-type: none"> • Develops and communicates the organization's VMVG and reform agenda to ensure understanding and to generate support • Develops and communicates measurable milestones and compelling strategies that include cross-functional and cross- departmental solutions to client needs • Models/reflects the organization's VMVG and reform agenda in one's strategies, decisions, and actions • Ensures alignment of operational and individual performance plans with strategies • Ensures that there are mechanisms for continuous organizational learning, and optimization of talents of women and men (e.g., coaching and mentoring) • Inspires and enables the organization to challenge existing practices, and explore and apply new technologies and methods to pursue the VMVG and reform agenda • Monitors, tracks and continuously improves strategy execution
	<p>2. Commitment to Performance and Public Accountability</p> <p>Developing and executing mechanisms to ensure that units and individuals take responsibility and accountability for achieving performance goals. Harmonizes management practices with public responsibilities and good citizenship</p>	<ul style="list-style-type: none"> • Creates, models, and nurtures an organizational culture and environment that fosters high standards of ethics, gender equality, performance, and commitment to public service • Installs and executes a financial management and reporting system that upholds principles of transparency, accountability, and prudent stewardship of organizational resources • Installs and executes internal control systems to provide checks and balances in critical business processes • Develops and implements systems and mechanisms to eliminate opportunities for graft and corruption and to ensure that public trust is not violated • Develops and implements a performance management and evaluation system that defines clear performance targets, development mechanisms, and merit-based rewards
	<p>3. Business/Government Environment Acumen</p> <p>Aligning the organization's processes and performance with its strategic goals and reform agenda and the broader economic, political, and administrative systems in which it operates</p>	<ul style="list-style-type: none"> • Understands and operates within the government machinery (e.g., executive branch; judicial system; legislative process; budgeting system; etc.) • Keeps self and organization abreast of relevant legislation, government policies, and emerging issues, and ensures that organization is positioned to meet current and emerging business/Government goals and demands

Competency/Definition	Key Performance Areas	Critical Success Indicators
	<p>4. <i>Building Strategic Alliances</i></p> <p>Identifying partnership opportunities, and building and optimizing alliances with mission-critical stakeholders so the organisation can pursue its reform agenda and provide services to its clientele more effectively</p>	<ul style="list-style-type: none"> • Installs and executes mechanisms for identifying and profiling strategic partners (including partnership requirements) • Establishes shared strategic agenda among partners • Installs, executes, monitors, and evaluates mechanisms for linkages and partnership • Installs, executes, monitors, and evaluates mechanisms for complementation and leveraging of resources provided by various partners • Builds and maintains sound alliances with other government institutions, the private sector, and civil society in pursuing the organization's goals
<p>Administration (Financial Management and Internal Control)</p> <p>Ability to develop, install, execute, and evaluate financial management, reporting and internal control systems to harness financial resources towards achieving the organization's strategic goals.</p>	<p>1. <i>Financial Management</i></p> <p>Applying sound financial principles and practices and complying with government policies and guidelines in developing and installing a financial management system</p>	<ul style="list-style-type: none"> • Develops, installs and monitors the implementation of financial planning, accounting, and budgeting systems and processes • Ensures that budgeting and planning processes are harmonized • Complies with and aligns financial management system and processes with government policies/guidelines and reportorial requirements • Ensures timely and accurate preparation of financial reports (including expenditures) • Oversees provision of timely financial support services to all units • Applies appropriate technologies to improve efficiency, responsiveness, and transparency of financial systems and processes (including financial records management) • Generates buy in on the financial management system from critical stakeholders
	<p>2. <i>Internal Control</i></p> <p>Applying sound internal control principles and practices and complying with government policies in developing and installing an internal control system in financial management</p>	<ul style="list-style-type: none"> • Develops, installs and monitors the implementation of an internal control system in financial management • Develops and applies appropriate tools to monitor and control expenditures, cash flow and other financial transactions • Oversees procurement of goods and services and contracting of vendors/suppliers • Ensures that systems and processes comply with relevant government regulations and reportorial requirements • Applies appropriate technologies to improve efficiency, responsiveness, and transparency of internal control system in financial management • Generates buy in on the internal control system in financial management from critical stakeholders

B.1 OA SURVEY QUESTIONNAIRE

Name:	Date:
Office:	

This survey questionnaire aims to gather data on the state of capacities and competencies that are critical to organisational effectiveness, as well as the organisation's readiness for change. Your candid inputs are very valuable in generating robust and reliable data that can be used to plan for improvements.

The questionnaire consists of statements related to organisational capacities, competencies and change readiness. Please rate each statement using the applicable scale below by checking the appropriate box. Feel free to write specific comments on the blank spaces provided to support your rating.

Part 1. Organisational Capacities

Rating	Definition	Rating Scale							
8	The practice of the best mechanisms and processes are sustained over time.	1	2	3	4	5	6	7	8
7	Mechanisms and processes are considered as best practice.								
6	Mechanisms and processes are integrated across the organisation.								
5	Mechanisms and processes are functional and consistently implemented.								
4	Mechanisms and processes are functional but not consistently implemented.								
3	Mechanisms and processes are partially functional.								
2	With mechanisms and processes but not systematic.								
1	No mechanisms and processes.								
Planning and Policy									
1	The organisation regularly engages in planning activities.								
2	The organisation involves the staff in its planning exercises and policy formulation.								
3	The organisation communicates/cascades approved plans and policies.								
4	The organisation implements approved plans and policies.								
5	The organisation monitors, evaluates and adjusts plans and policies accordingly.								
6	The organisation disaggregates data by sex and uses this for GAD analysis and planning.								
Comments:									
Leadership and Management									
7	The organisation has clear strategic directions; that is, the vision, mission, values and strategies are set.								
8	The vision, mission, values and strategies are shared/communicated with its stakeholders.								
9	The organisational plans and individual performance targets are aligned.								
10	There is transparency in operations and accountability for management actions - that is, the organisation strictly follows government financial control system.								

Comments:									
Knowledge Management and Performance Improvement									
11	The organisation has a database of information (including sex disaggregated data) required for planning, monitoring and evaluating performance.								
12	The organisation shares information to targeted/key internal and external stakeholders.								
13	The organisation utilizes all information/knowledge as basis for the organisation's continuous improvement.								
Comments:									
Stakeholder Relations									
14	The organisation is able to identify its key external stakeholders.								
15	The organisation is able to determine the needs of its external stakeholders.								
16	The organisation is able to work effectively with its external stakeholders to achieve desired results.								
Comments:									
Gender and Development									
17	The organisation addresses the interests and needs of men and women in its plans, programs and policies.								
18	The organisation encourages participation of women in decision-making.								
19	The organisation has implementing policies and guidelines for the implementation of GAD laws and international commitments.								
Comments:									

Part 2: Competencies

Rating	Definition
8	All competency indicators are demonstrated in a consistent and sustained manner and all work results are considered best practice.
7	All competency indicators are demonstrated in a consistent and sustained manner.
6	All competency indicators are adequately demonstrated and all work results meet expectations/requirements.
5	Most competency indicators are adequately demonstrated and most work results meet expectations/requirements.
4	Most competency indicators are demonstrated but work results still need refinement.
3	Some competency indicators are demonstrated.
2	Very Limited Competency.
1	No Competency.

		Rating Scale							
		1	2	3	4	5	6	7	8
Planning and Policy									
20	The employees develop and implement long- and short-term plans and policy guidelines.								
21	The employees monitor and evaluate their progress and make changes accordingly.								
22	The employees consider the interests and needs of both men and women in their plans and programs.								
Comments:									

Leadership and Management									
23	The executives create and pursue clear and inspiring vision, mission, values and strategies that support organisational mandate.								
24	The executives and managers build, maintain and sustain strategic alliances.								
25	The executives and managers model public accountability and abide by ethical standards for government officials.								
Comments:									

Administration (Financial Management and Internal Controls)									
26	The management is able to develop, install and monitor financial and internal controls.								
27	The management comes up with accurate and timely financial reports and services to all units.								
28	The employees understand and follow the organisation's financial and internal control systems.								
Comments:									

Technical									
29	The employees are equipped with the knowledge, skills and attitudes required to perform their jobs.								
30	The employees apply their knowledge, skills and attitude to effectively perform their jobs.								
Comments:									

Part 2: Change Readiness

Rating	Definition				
4	All key factors for success are present. Ready to proceed.				
3	Most key factors for success are present, or with minor issues. Requires minimal preparation and support before proceeding.				
2	Some key factors for success are present. Requires substantial preparation and support before proceeding.				
1	All or most key factors for success are absent or very weak. Requires extensive preparation and support before proceeding.				
		Rating Scale			
		1	2	3	4
Vision and Change Agenda					
31	The organisation engages employees in the development of vision and goals for change.				
32	The organisation has clear and inspiring vision and goals for change.				
33	The management regularly communicates the vision and goals for change to all its employees and external stakeholders.				
Comments:					
Executive Sponsorship					
34	The top management initiates and advocates organisational change.				
35	Leaders at all levels are committed to lead and support the change programs.				
36	The top management provides motivating factors for employees to support a desired change.				
Comments:					
Track Record for Implementing Reforms/ Changes					
37	The organisation has successfully implemented various reform programs.				
Comments:					
Absorptive capacity of the organisation for the reform					
38	The organisation is able to introduce new practices effectively and efficiently.				
39	The organisation is able to adapt and systematically integrate reforms in its operations.				
40	The organisation is able to build on previous gains of programs and projects.				
Comments:					
Level of awareness and desire for the change					
41	The employees are aware and understand the value of a desired change.				
42	People affected by the change are willing to implement it.				
Comments:					
Level of knowledge and ability for the change					
43	The employees have the required skills and knowledge to support a desired change.				
44	The organisation is able to carry out sustained implementation of a desired change.				
Comments:					



B.2 OA FOCUS GROUP DISCUSSION GUIDE QUESTIONS

Objectives of the FGD:

- FGD1 (Survey Respondents): To **validate quantitative rating** to survey questionnaire by eliciting specific qualitative data on the three pillars: capacities, competencies and change readiness.
- FGD2 (Middle Managers): To **generate quantitative and qualitative data** on the organisation's change agenda and the three pillars: capacities, competencies and change readiness

Notes to FGD Facilitator:

- The questions in this tool are meant to guide the conduct of the FGD. The Facilitator may recast the questions to suit his/her style and the profile of the audience.
- Flash definitions of Capacity, Competency and Change readiness, as well as the definitions of the different capacity and competency areas and change readiness dimensions before proceeding to the discussion.
- Ensure that all areas of inquiry are covered during the discussion.
- Feel free to ask additional follow-up questions. The use of the S/T-A-R² technique in probing is usually effective.
- Endeavour to complete the FGD in 60-90 minutes, and no longer than 120 minutes.

IMPORTANT:

- For FGD1 (Survey Respondents): Present summary of ratings per capacity area and validate with respondents. Use this as reference in discussing each of the capacity areas. Make sure to probe for specific and robust qualitative to support quantitative rating.
- For FGD2 (Middle Managers):
 - ◉ Cover Change Agenda before the three pillars
 - ◉ Solicit numerical rating per capacity and competency area, and per change readiness dimension. Endeavour to build consensus by generating robust and specific qualitative data.

- Refer to OA Guidebook for tips and reminders on how to prepare for and manage the FGD.

A. Capacities

Guide Questions

1. Planning and Policy

- a. What are existing processes for strategic and operational planning and budgeting?
 - b. How are plans and policies cascaded to the organisation?
 - c. What are existing monitoring and evaluation processes and mechanism?
-

² S/T- Situation or Task; A- Action; R- Result

- d. How are GAD issues and concerns integrated into strategic and operational planning processes?
 - e. What are examples of databases that are disaggregated by sex?
- 2. Leadership and Management**
 - a. What leadership framework or guidelines does the organisation follow?
 - b. What are the strategic directions of the organisation and how are these cascaded?
 - c. How are organisational plans and individual performance targets aligned?
 - d. What mechanisms are in place to ensure transparency in operations and accountability for management actions?
 - 3. Human Resource Management and Development**
 - a. Are there existing systems and policies on Recruitment, Selection and Placement, Learning and Development, Performance Management, and Rewards and Recognition?
 - b. How effective are they?
 - c. How is GAD infused in these systems and policies?
 - d. What feedback review mechanisms are in place to ensure that HRMD systems and policies are functional and responsive?
 - 4. Knowledge Management and Performance Improvement**
 - a. Does the organisation have a database of information (including sex disaggregated data) required for planning, monitoring and evaluating performance? How updated and complete is this?
 - b. How does the organisation ensure that pertinent knowledge/information is shared to, or accessed by internal and external stakeholders?
 - c. What mechanisms are in place to ensure that knowledge/information is used by the organisation for continuous improvement?
 - 5. Stakeholder Relations**
 - a. How does the organisation identify its external stakeholders and their needs?
 - b. What mechanisms or processes does the organisation have in partnering with external stakeholders to achieve desired results?
 - 6. Gender and Development**
 - a. How does the organisation address the interests and needs of men and women in its plans, programs and policies?
 - b. What policies and guidelines are in place for the implementation of GAD laws and international commitments?
 - c. How extensive is the deployment of GAD plans, budget, strategies and policies?

B. Competencies

- 1. Planning and Policy**
 - a. Are concerned units and employees able to apply appropriate tools and processes in developing and implementing strategic and operational plans? (Please cite examples.)
 - b. Are concerned units and employees able to perform all critical jobs related to budgeting, investment programming, monitoring and evaluation, project planning and management? (Please cite examples.)
 - c. Are concerned units and employees able to incorporate and address the interests and needs of women and men in planning, policy formulation and project implementation? (Please cite examples.)
- 2. Leadership and Management**
 - a. Are members of top management able to develop, communicate and pursue clear and inspiring VMV? (Please expound.)

- b. Are members of top management able to seize opportunities, build and sustain strategic alliances to pursue organisational goals? (Please cite examples.)
- c. Do the organisation's leaders model transparency and accountability, and adherence to ethical standards for government officials? (Please cite examples.)

3. Human Resource Management and Development

- a. Is the organisation's HRMO equipped with competencies to manage/implement the organisation's Recruitment, Selection and Placement system and policies? (Please expound.)
- b. Is the organisation's HRMO able to ensure that all employees, women and men alike, have equitable access to learning and development opportunities? (Please cite examples.)
- c. Can the organisation's HRMO ably manage the learning and development management cycle, i.e., learning needs analysis, design, development, execution, monitoring and evaluation? (Please cite examples.)
- d. Is the organisation's HRMO equipped with competencies to manage/implement the organisation's Performance Management System and policies? (Please expound.)
- e. Is the organisation's HRMO equipped with competencies to manage/implement the organisation's Rewards and Recognition policies and programs? (Please expound.)

4. Financial Management

- a. Are concerned managers and staff able to develop, install and monitor financial and internal controls? (Please expound.)
- b. Is management able to ensure that financial reports are accurate and timely? (Please expound.)
- c. Are employees able to follow financial and internal control systems? (Please cite examples.)

C. Change Readiness

1. Vision and Change Agenda

- a. What is the organisation's vision and change agenda?
- b. How have employees been engaged in developing these?
- c. How are these communicated to the entire organisation?

2. Executive sponsorship

- a. What is top management's role during organisational change? (Please expound.)
- b. How do leaders manifest support for change?
- c. How do leaders influence and motivate employees to support change?

3. Track Record for Reforms

- a. What is the organisation's track record in implementing reforms/change? (Please cite examples in the past 3-5 years.)

4. Absorptive Capacity

- a. What does the organisation do to ensure that change is introduced efficiently and effectively? (Please expound.)
- b. How has the organisation adapted to change and integrated new systems and processes into its "regular" operations? (Please cite examples.)
- c. What does the organisation do to build on the previous gains of programs and projects? (Please cite examples.)

5. Awareness and desire for change

- a. What does the organisation do to ensure that everyone in the organisation is aware and understand a planned change? (Please cite examples.)
- b. How do employees respond whenever change is introduced? (Please cite examples.)

6. Knowledge and ability to change

- a. What does the organisation do to ensure that everyone has the knowledge and ability to carry out a planned change? (Please cite examples.)
- b. What does the organisation do to carry out sustained implementation of change? (Please cite examples.)

D. Change Agenda (for Middle Managers)

1. What are the organisation's priority thrusts and strategic goals for the next three – five years?

- What are ongoing reform programs in the organisation that support these?
- What specific reform programs does the organisation plan to introduce for the next three – five years?

2. What developments or "pressures" in the external and internal environments triggered these?

- What developments in the **external** and internal environments could affect goal achievement?
- What conditions in the internal environment could support goal achievement?



B.3 KEY INFORMANT INTERVIEW GUIDE QUESTIONS

Objectives of the KII:

- To generate qualitative data on the change agenda and the three pillars (capacities, competencies and change readiness) from the organisation's top management

Notes to the Interviewer:

- The questions in this tool are meant to guide the conduct of the KII. The Facilitator may recast the questions to suit his/her style.
- Ensure that all areas of inquiry are covered during the discussion.
- Ask the "positioning" questions first (bold font); give time for interviewee to respond, and then probe by asking the bulleted questions.
- Feel free to ask additional follow-up questions. The use of the S/T-A-R³ technique in probing is usually effective.
- Endeavour to complete the interview in 45-60 minutes.
- Refer to OA Guidebook for tips and reminders on how to prepare for and manage the KII.

Guide Questions

A. Change Agenda

1. What are the organisation's priority thrusts and strategic goals for the next three – five years?

- What visible changes do you want to see in the way the organisation conducts its business?
- What are ongoing reform programs in the organisation that support these?
- What specific reform programs does the organisation plan to introduce for the next three – five years?

2. What developments or "pressures" in the external and internal environments triggered these?

- What developments in the **external** and internal environments could affect goal achievement?
- What conditions in the internal environment could support goal achievement?

B. Change Readiness

3. How has the organisation prepared for change in the past?

- What highly successful organisational changes have been introduced in the past three years? What were the outcomes/results?
 - What are the organisation's strengths in terms of preparing for change? (*Vision and Change Agenda, Executive Sponsorship, Track Record for Implementing Reforms/Change, Level of Awareness and Desire for Change, Level of Knowledge and Ability to Change*)
 - What improvements do you want to see so that the organisation can better prepare for change?
-

³ S/T- Situation or Task; A- Action; R- Result

C. Capacities

4. In which of the six Capacity areas (*Planning and Policy, Leadership and Management, Human Resource Management and Development, Knowledge Management and Performance Improvement, Stakeholder Relations, and Gender Development*) should the organisation be strong at to support the change agenda?
- What is (are) the strength(s) of the organisation from among the six Capacity areas? Can you cite specific incidents when this (these) was (were) demonstrated?
 - In which of the six Capacity areas does the organisation need to improve? What specific gaps have you observed in the past? How did it affect organisational performance?

D. Competencies

5. In which of the four Competency areas (*Planning and Policy, Leadership and Management, Human Resource Management and Development, and Financial Management*) should the organisation be strong at to support the change agenda?
- What is (are) the strength(s) of the organisation from among the four Competency areas? Can you cite specific incidents when this (these) was (were) demonstrated?
 - In which of the four Competency areas does the organisation need to improve? What specific gaps have you observed in the past? How did it affect organisational performance?



C.1 A BRIEF ON THE PRIME-HRM

The Program to Institutionalize Meritocracy and Excellence in Human Resource Management (PRIME-HRM) integrates and enhances the Personnel Management Assessment and Assistance Program (PMAAP) and the CSC Agency Accreditation Program (CSCAAP). It is a mechanism that empowers government agencies by developing their human resource management competencies, systems, and practices toward HR excellence.

PRIME-HRM entails greater engagement not just of the human resource management officer (HRMO) but also of the officials and the rank-and-file employees of the agency.

The program aims to:

- Serve as search mechanism for best practices in human resource management;
- Serve as a venue for exchange and development of expertise in the area of human resource management between and among government agencies;
- Empower agencies in the performance of human resource management functions; and
- Promote and reward excellent human resource management practices

What happens under PRIME-HRM?

ASSESS

The CSC will assess the maturity level of an agency's competencies, systems, and practices in four HR systems:

1. Recruitment, Selection and Placement	Processes and mechanisms for attracting, screening, selecting and on-boarding the right person in the right job at the right time to support organisational performance.
2. Learning and Development	Processes and mechanisms for building competencies and developing potentials of staff, leaders and teams to ensure that the organisation has the competent and engaged workforce it needs
3. Performance Management	Processes and mechanisms for improving and sustaining performance of individuals and work units, and aligning this with the organisation's performance goals
4. Rewards and Recognition	Processes and mechanisms for valuing contributions of individuals and work units, and recognising excellent performance and achievement of work targets in pursuing the organisation's mandate

Since Human Resource Management Offices (HRMO) play a big role in the program, their competencies will also be assessed to determine developmental opportunities. An online survey of the agency's human resource management climate will likewise be conducted.

ASSIST

The CSC assists agencies in addressing their needs by providing customized technical assistance and developmental interventions, referring them to appropriate service providers, and/or linking them with other agencies for knowledge exchange.

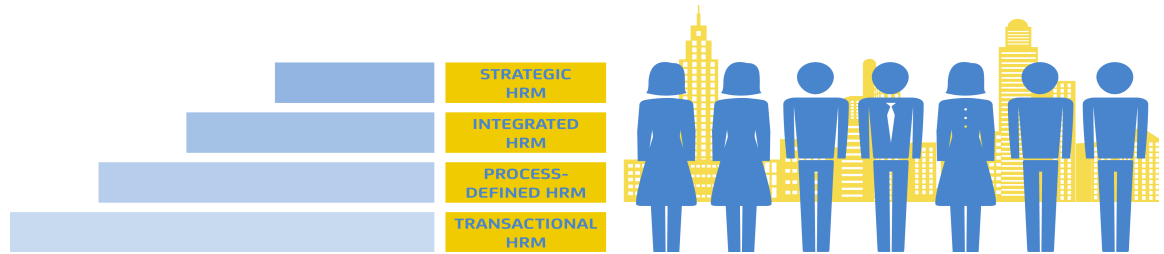
AWARD

Agencies may vie for special rewards and citations, such as being a Center of HR Excellence or the Seal of HR Excellence. HRMOs may also be nominated / recommended for local study/scholarship grants. Of course, the biggest reward would be a motivated workforce and satisfied clients as a result of improved HR systems and procedures.

What are HR MATURITY LEVELS?

The maturity level indicates how well the behaviors, practices and processes of an organization can reliably and sustainably produce required outcomes.

Based on the assessment, a government agency’s HR system may be classified according to four maturity levels:

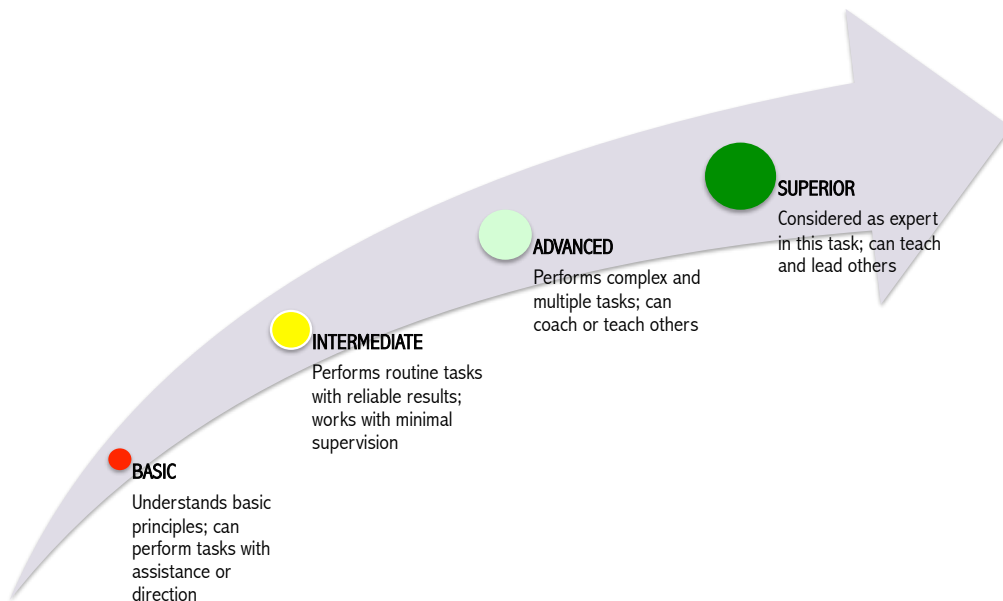


- *Transactional HRM* – HR assumes personnel function that is mostly separate from agency/business and talent needs.
- *Process-Defined HRM* – There is a set of defined and documented SOPs established, though it needs improvement. It is characterized by goal-oriented decision making. There is some automated system but little integration of data.
- *Integrated HRM* – Uses process metrics for continuous improvement, an HR management toolkit, and data-driven decision making. HR function supports agency business needs.
- *Strategic HRM* – HR processes are focused on continually improving process performance. It is also systematically managed by a combination of process optimization and continuous improvement. At this level, HR helps to drive agency business decision on people, data, and insight. HR strategy is already part of the agency strategy.

What are HRMO COMPETENCIES AND PROFICIENCY LEVELS?

The Civil Service Commission Competency Model defines competencies, as “observable, measurable, and vital knowledge, skills, and attitudes which are a translation of capabilities deemed essential for organisational success.”

The HRMO Competencies pertain to those required in the four PRIME-HRM systems. Without competencies, an HRMO cannot launch the correct HRM systems. The competencies are organized in four proficiency levels shown below:



Source: PRIME-HRM Brochure, September 2014 (Developed by the Civil Service Commission, an output of *Strengthening CSC’s PRIME-HRM*, an intervention funded by the Australian Government through PAHRODF.)



Annex D.1 PAHRODF ORGANISATIONAL ASSESSMENT REPORT ¹

PARTNER ORGANISATION:

Date of Assessment Completion: _____
Date of Report Submission to HRODF: _____
Learning Service Provider: _____

Part 1: Executive Summary

Please provide a concise narrative on the major findings of the assessment process, the analysis of these findings and the recommendations of the learning service providers. (300 words maximum)

Part 2: Details of the Partner Organisation

Name of Partner Organisation	
Alignment with Australian Government Programme Strategies	
HROD Adviser	
Head of CPO	
Business Address	
Contact Details Telephone Number/s Fax Number/s Email URL	
Agency's Main Contact Person	
Designation, Department	

¹ The OA Report Template is accompanied by the OA Framework for the partner organisation, which provides a User's Guide to the Report Template, and the LSP OA Complementary Report. The LSP must develop a separate user-friendly guide questionnaire for OA respondents. This report template MUST NOT be used as a guide questionnaire; OA respondents MUST not use this to answer OA questions.

Email Address	
Mobile	
Phone	

Agency's Human Resource Contact Person	
Designation, Department	
Business Phone	
Business Fax	
Mobile Phone Number	
E-mail Address	

Brief description and background statement concerning the partner organisation's mandates - vision, mission, development goals, priority development agenda of the current administration of the partner organisation. Whenever possible, link the mandates with the goals and objectives of the Statement of Commitment (SoC). (Limit your response to less than one page)

Describe relevant details of the partner organisation's priority thrust/s related to the SoC – rationale and background of the thrusts, envisioned outcomes, target stakeholders/clients, strategies and major programmes implementing the thrust/s, scope and coverage of these implementing programmes, units/groups involved in these thrusts. Describe gains, achievements, impact made under the priority thrusts to date. Include achievement awards, recognition gained by the partner organisation under the priority thrust/s. (Limit your response to 1.5 pages, maximum)

Part Three: Summary of Findings in the Three Pillars of Organisational Effectiveness

Please provide a concise narrative of findings for each assessed pillar. Use the appropriate scales for rating the capacities, competencies and change readiness.

A. CAPACITIES

Table 1. Capacity Level and Interpretation

Capacity Level	Description	Definition	Interpretation
8	Sustained	Mechanisms and processes used with success over a period of time; value in achieving the organization's mandate measured. All outputs and outcomes are evident.	Area of Strength
7	Refined	Mechanisms and processes are regularly reviewed and enhanced; considered as innovative and best practice. All outputs and outcomes are evident.	
6	Aligned	Mechanisms and processes are integrated with other systems in the organisation, and fully aligned with key strategic and operational goals. Most outputs and outcomes are evident.	Area of Adequacy
5	Enforced	Fully functional and consistently implemented mechanisms and processes. Most outputs and outcomes are evident.	
4	Purposive	Mechanisms and processes are planned and responsive to the needs of the organization, but not consistently implemented. Some outputs and outcomes are evident.	Minor Area for Improvement
3	Rudimentary	Some basic mechanisms and processes are in place but not fully functional. Few outputs and outcomes are evident.	
2	Reactive	Activity based. No systematic mechanisms and processes. Outputs and outcomes are not yet evident.	Major Area for Improvement
1	Non-existent	Absence of mechanisms and processes	

1. Planning and Policy

Definition

- Capacity to identify and anticipate strategic challenges and directions of the organisation, develop, execute and evaluate plans, and mobilize resources to meet this
- Capacity to optimize planning processes and tools as instruments for organisational change and achieving strategic results

Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

2. Leadership and Management

Definition	
<ul style="list-style-type: none"> Capacity to create and nurture an organisational culture and environment that promotes peak performance and continuous improvement Capacity to manage resources and focus energies to support the achievement of organisation's mandate Capacity to establish and sustain a robust financial management, reporting and internal control systems 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

3. Human Resource Management and Development (HRMD)²

Definition	
<ul style="list-style-type: none"> Capacity to determine key human performance elements that will promote the achievement of the organisation's mandate Capacity to develop and deploy mechanisms and processes for ensuring that the organisation has adequate, competent, and engaged human resources to permit mission-critical roles <p><i>Four HRMD sub-systems: 1) Recruitment, Selection and Placement; 2) Learning and Development; 3) Performance Management; and 4) Rewards and Recognition are assessed to align with the PRIME-HRM.</i></p>	
Recruitment, Selection and Placement	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HROD Intervention	
Learning and Development	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HROD Intervention	
Performance Management	
Assessment	Evidences
Level:	

² Use Rating Scale of PRIME-HRM.

Description:	
Overall Observation and Analysis	
Proposed HROD Intervention	
Rewards and Recognition	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HROD Intervention	

4. Knowledge Management and Performance Improvement

Definition	
<ul style="list-style-type: none"> Capacity to build and manage knowledge assets to facilitate achievement of strategic goals and promote continuous improvement and organisational sustainability 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

5. Stakeholder Relations

Definition	
<ul style="list-style-type: none"> Capacity to identify partnership opportunities, and build and optimize alliances with mission- critical stakeholders so the organisation can pursue its reform agenda and provide services to its clientele more effectively 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

6. Gender and Development

Definition	
<ul style="list-style-type: none"> Capacity to identify and respond to GAD issues and concerns in the organisation 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

B. COMPETENCIES

Table 2. Competency Level and Interpretation

Comp. Level	Description	Definition	Interpretation
8	Expert	Key officers/staff have expert knowledge, training or experience, and can coach and train others in the competency. All Critical Success Indicators are being performed in a consistent and sustained manner. Outputs and processes regularly reviewed and refined, and considered best practice.	Area of Strength
7	Advanced	Key officers/staff have advanced knowledge, training or experience in the competency. All Critical Success Indicators are being performed in a consistent and sustained manner. Outputs/processes reviewed and refined.	
6	Proficient	Key officers/staff have adequate knowledge, training or experience in the competency. All Critical Success Indicators are being performed; outputs/processes meet standards.	Area of Adequacy
5	Developed	Key officers/staff have adequate knowledge, training or experience in the competency. Many Critical Success Indicators are being performed; most outputs/processes meet standards.	
4	Developing	Key officers/staff have some knowledge, training or experience in the competency. Many Critical Success Indicators are being performed but outputs and processes still need refinement.	Minor Area for Improvement
3	Novice	Key officers/staff have some knowledge, training or experience in the competency. Some Critical Success Indicators are being performed; outputs and processes need improvement.	
2	Emergent	Key officers/staff have very limited knowledge, training or experience in the competency. Few Critical Success Indicators are being performed; outputs and processes need substantial improvement.	Major Area for Improvement
1	Non-existent	Key officers/staff have no prior knowledge, training or experience in the competency. All Critical Success Indicators are not being performed.	

1. Planning and Policy

Definition	
<ul style="list-style-type: none"> Ability to develop, deploy and implement strategic and operational plans supported by sound policies Ability to monitor and evaluate plan implementation and accomplishments, and to use results to ensure that planning and project management processes are always responsive to strategic needs 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HRD Intervention	

2. Leadership and Management

Definition	
<ul style="list-style-type: none"> Ability of executives, managers and supervisors to guide and energize people to achieve performance targets in line with a set of shared organisational vision, mission, values, goals and performance parameters 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HRD Intervention	

3. Human Resource Management and Development (HRMD)³

Definition	
<ul style="list-style-type: none"> Ability to plan, develop, execute and evaluate an integrated human resource management and development system that will facilitate the acquisition and maintenance of best-fit, motivated and high performing individuals and units to perform current and future work requirements to achieve the organisation's strategic goals (i.e., competencies in Recruitment, Selection and Placement; Learning and Development Performance Management; and Rewards and Recognition) 	
Recruitment, Selection and Placement	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	

³ Use Rating Scale of PRIME-HRM.

Proposed HRD Intervention	
Learning and Development	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HRD Intervention	

Performance Management	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HRD Intervention	

Rewards and Recognition	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HRD Intervention	

4. Financial Management and Control

Definition	
<ul style="list-style-type: none"> Ability to develop, install, execute and evaluate financial management and financial and internal control systems to harness financial resources towards achieving the organization's strategic goals 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HRD Intervention	

5. CHANGE READINESS

Table 3. Change Readiness Levels and Interpretation

Readiness Level	Description	Interpretation
4	All key factors for success are present. Ready to proceed.	High
3	Most key factors for success are present, or with minor issues. Requires minimal preparation and support before proceeding.	Good
2	Some key factors for success are present. Requires substantial preparation and support before proceeding	Fair
1	All or most key factors for success are absent or very weak. Requires extensive preparation and support before proceeding.	Low

1. Vision and Change Agenda

Definition

- Presence of clear and engaging strategic directions, such as vision, mission, goals and strategies that are elicited from and communicated to targeted stakeholders for ownership and buy-in.
- Presence of clear and engaging strategic directions, such as vision, mission, goals and strategies that are elicited from and communicated to targeted stakeholders for ownership and buy-in.

Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

2. Executive Sponsorship

Definition

- Presence of committed leaders (both formal and informal) in various layers of the organisation who advocate for the planned reforms, and help in developing a critical mass of change

Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

3. Track record for implementing reforms / changes

Definition

- The organisation has demonstrated capacity to lead, steer, implement and evaluate strategic reforms in the past that have yielded positive outcomes/results.

Assessment	Evidences
Level:	
Description:	

Interpretation:	
Overall Observation and Analysis	

4. Absorptive capacity of the organisation for change

Definition	
<ul style="list-style-type: none"> Ability of the organisation to absorb new learning, skills and practices with little or no downturn in performance; ability of the organisation to complement and harmonize changes. Ability of the organisation to manage simultaneous change initiatives. 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

5. Level of Awareness and Desire for Change

Definition	
<ul style="list-style-type: none"> Extent of awareness and understanding of the people affected by the change to implement the desired change (i.e., reform agenda) 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

6. Level of Knowledge and Ability for Change

Definition	
<ul style="list-style-type: none"> Ability of targeted people to sustainably implement the desired change agenda 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

Part Four: Integrative Analysis and Recommendations

A. Analysis of Organisational Capacities

Identify major strengths and areas for improvement based on the results shown above. Analyse possible causes or sources of strengths and weaknesses within and outside the organisation. Discuss the implications of the findings on the following aspects: 1) level of attainment of desired outcomes of the priority thrusts, 2) rate of success/failure of the proposed HROD intervention, 3) kinds of risks that are probable given the results and the required risk and change management initiatives to respond to the risks and change readiness issues. Discuss the relationship of the findings on this component to the findings in the other components (Competencies, Change Readiness).

B. Analysis of Competencies

Identify major strengths and areas for improvement based on the results shown above. Analyse possible causes or sources of strengths and weaknesses within and outside the organisation. Discuss the implications of the findings on the following aspects: 1) level of attainment of desired outcomes of the priority thrusts pertinent to the SOC, 2) rate of success/failure of the proposed HRD intervention, 3) kinds of risks that are probable given the results and the required risk and change management initiatives to respond to the risks and change readiness issues. Discuss the relationship of the findings on this component to the findings in the other components (Capacities, Change Readiness).

C. Analysis of Change Readiness

Analyse the probable factors existing in the internal and external environments of the organisation that affect the level of readiness for change of this organisation, as shown by the above results. Discuss the possible effects of the findings on current and future change initiatives.

D. Overall Observations and Recommendations

Discuss other observations of the partner organisation and the LSP/OA Team that were not captured in the previous items, e.g., norms/culture of the organisation that affects performance, external factors that affect the morale and political environment of the organisation.

Prioritize the implementation of HR/OD interventions identified above, and discuss the reasons behind the prioritization. Provide specific recommendations pertaining to: 1) the appropriate HR/OD approach and management style to effectively deliver the proposed HR/OD, 2) the critical strategies that must be utilized to manage the different stakeholders in the organisation and the possible risks to the proposed HR/OD interventions, and 3) the important measures to ensure ownership of HR/OD interventions and the sustainability of their gains and achievements.

Part Five: Proposed HROD Interventions & Fields of Study

Year One Interventions Prioritized HR/OD initiatives to address the OA findings		Provide the purpose of each of the interventions and discuss how these interventions will address the findings of this organisational assessment. Identify the desired capacity and competency outcomes for each intervention. Outcomes are expected results that contribute to the attainment of the goals and objectives of the priority thrusts of the organisation.
Priority	Intervention	Purpose and Expected Outcomes
1		
2		
3		
Year One Fields of Study Specific subject matter of course concentration to complement the HR/OD interventions		For each field of study, Identify what specific HR/OD intervention is it linked to. Explain how this field of study can contribute to the attainment of expected outcomes of the specific HR/OD intervention. Identify corresponding capacity area/s where the awardees are expected to make major contributions. Specify desired competencies developed in the awardee through the scholarship.
Priority	Field of Study	HR/OD Intervention & Capacity Area; Expected Outcomes & Competencies
1		
2		
3		

Annexes

References

D.2 ASSESSMENT REPORT TEMPLATE (GENERIC)

ORGANISATION ASSESSMENT REPORT

Name of Organisation	
Type of Organisation	
Business Address	
Head of Organisation	
Date of Assessment	
Learning Service Provider/OA Team Leader	

Part One: Executive Summary

Please provide a concise narrative on the major findings of the assessment process, the analysis of these findings and the recommendations of the learning service provider/OA team.

Part Two: Organisation's Change Agenda

Brief description and background statement concerning the partner organisation's mandates - vision, mission, development goals, priority development agenda of the current administration of the organisation.

Describe relevant details of the organisation's priority thrust/s— rationale and background of the thrusts, envisioned outcomes, target stakeholders/clients, strategies and major programmes implementing the thrust/s, scope and coverage of these implementing programmes, units/groups involved in these thrusts. Describe gains, achievements, impact made under the priority thrusts to date. Include achievement awards, recognition gained by the partner organisation under the priority thrust/s.

Part Three: Summary of Findings in the Three Pillars of Organisational Effectiveness

- C. Please provide a concise narrative of findings for each assessed pillar. Use the appropriate scales for rating the capacities, competencies and change readiness.

D. CAPACITIES

Table 4. Capacity Level and Interpretation

Capacity Level	Description	Definition	Interpretation
8	Sustained	Mechanisms and processes used with success over a period of time; value in achieving the organization's mandate measured. All outputs and outcomes are evident.	Area of Strength
7	Refined	Mechanisms and processes are regularly reviewed and enhanced; considered as innovative and best practice. All outputs and outcomes are evident.	
6	Aligned	Mechanisms and processes are integrated with other systems in the organisation, and fully aligned with key strategic and operational goals. Most outputs and outcomes are evident.	Area of Adequacy
5	Enforced	Fully functional and consistently implemented mechanisms and processes. Most outputs and outcomes are evident.	
4	Purposive	Mechanisms and processes are planned and responsive to the needs of the organization, but not consistently implemented. Some outputs and outcomes are evident.	Minor Area for Improvement
3	Rudimentary	Some basic mechanisms and processes are in place but not fully functional. Few outputs and outcomes are evident.	
2	Reactive	Activity based. No systematic mechanisms and processes. Outputs and outcomes are not yet evident.	Major Area for Improvement
1	Non-existent	Absence of mechanisms and processes	

7. Planning and Policy

Definition

- Capacity to identify and anticipate strategic challenges and directions of the organisation, develop, execute and evaluate plans, and mobilize resources to meet this
- Capacity to optimize planning processes and tools as instruments for organisational change and achieving strategic results

Assessment	Evidences
Level:	

Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

8. Leadership and Management

Definition	
	<ul style="list-style-type: none"> Capacity to create and nurture an organisational culture and environment that promotes peak performance and continuous improvement Capacity to manage resources and focus energies to support the achievement of organisation's mandate Capacity to establish and sustain a robust financial management, reporting and internal control systems
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

9. Human Resource Management and Development (HRMD)⁷

Definition	
	<ul style="list-style-type: none"> Capacity to determine key human performance elements that will promote the achievement of the organisation's mandate Capacity to develop and deploy mechanisms and processes for ensuring that the organisation has adequate, competent, and engaged human resources to permit mission-critical roles <p><i>Four HRMD sub-systems: 1) Recruitment, Selection and Placement; 2) Learning and Development; 3) Performance Management; and 4) Rewards and Recognition are assessed to align with the PRIME-HRM.</i></p>
Recruitment, Selection and Placement	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	

⁷ Use Rating Scale of PRIME-HRM.

Proposed HROD Intervention	
Learning and Development	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HROD Intervention	
Performance Management	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HROD Intervention	
Rewards and Recognition	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HROD Intervention	

10. Knowledge Management and Performance Improvement

Definition	
<ul style="list-style-type: none"> Capacity to build and manage knowledge assets to facilitate achievement of strategic goals and promote continuous improvement and organisational sustainability 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

Proposed HROD Intervention	
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11. Stakeholder Relations

Definition	
<ul style="list-style-type: none"> Capacity to identify partnership opportunities, and build and optimize alliances with mission- critical stakeholders so the organisation can pursue its reform agenda and provide services to its clientele more effectively 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

12. Gender and Development

Definition	
<ul style="list-style-type: none"> Capacity to identify and respond to GAD issues and concerns in the organisation 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HROD Intervention	

E. COMPETENCIES

Table 5. Competency Level and Interpretation

Comp. Level	Description	Definition	Interpretation
8	Expert	Key officers/staff have expert knowledge, training or experience, and can coach and train others in the competency. All Critical Success Indicators are being performed in a consistent and sustained manner. Outputs and processes regularly reviewed and refined, and considered best practice.	Area of Strength
7	Advanced	Key officers/staff have advanced knowledge, training or experience in the competency. All Critical Success Indicators are being performed in a consistent and sustained manner. Outputs/processes reviewed and refined.	
6	Proficient	Key officers/staff have adequate knowledge, training or experience in the competency. All Critical Success Indicators are being performed; outputs/processes meet standards.	Area of Adequacy
5	Developed	Key officers/staff have adequate knowledge, training or experience in the competency. Many Critical Success Indicators are being performed; most outputs/processes meet standards.	
4	Developing	Key officers/staff have some knowledge, training or experience in the competency. Many Critical Success Indicators are being performed but outputs and processes still need refinement.	Minor Area for Improvement
3	Novice	Key officers/staff have some knowledge, training or experience in the competency. Some Critical Success Indicators are being performed; outputs and processes need improvement.	
2	Emergent	Key officers/staff have very limited knowledge, training or experience in the competency. Few Critical Success Indicators are being performed; outputs and processes need substantial improvement.	Major Area for Improvement
1	Non-existent	Key officers/staff have no prior knowledge, training or experience in the competency. All Critical Success Indicators are not being performed.	

6. Planning and Policy

Definition	
<ul style="list-style-type: none"> Ability to develop, deploy and implement strategic and operational plans supported by sound policies Ability to monitor and evaluate plan implementation and accomplishments, and to use results to ensure that planning and project management processes are always responsive to strategic needs 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

Proposed HRD Intervention	
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7. Leadership and Management

Definition	
<ul style="list-style-type: none"> Ability of executives, managers and supervisors to guide and energize people to achieve performance targets in line with a set of shared organisational vision, mission, values, goals and performance parameters 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HRD Intervention	

8. Human Resource Management and Development (HRMD)⁸

Definition	
<ul style="list-style-type: none"> Ability to plan, develop, execute and evaluate an integrated human resource management and development system that will facilitate the acquisition and maintenance of best-fit, motivated and high performing individuals and units to perform current and future work requirements to achieve the organisation's strategic goals (i.e., competencies in Recruitment, Selection and Placement; Learning and Development Performance Management; and Rewards and Recognition) 	
Recruitment, Selection and Placement	
Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HRD Intervention	
Learning and Development	
Assessment	Evidences
Level:	
Description:	

⁸ Use Rating Scale of PRIME-HRM.

Overall Observation and Analysis	
Proposed HRD Intervention	

Performance Management

Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HRD Intervention	

Rewards and Recognition

Assessment	Evidences
Level:	
Description:	
Overall Observation and Analysis	
Proposed HRD Intervention	

9. Financial Management and Control

Definition

- Ability to develop, install, execute and evaluate financial management and financial and internal control systems to harness financial resources towards achieving the organization's strategic goals

Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	
Proposed HRD Intervention	

10. CHANGE READINESS

Table 6. Change Readiness Levels and Interpretation

Readiness Level	Description	Interpretation
4	All key factors for success are present. Ready to proceed.	High
3	Most key factors for success are present, or with minor issues. Requires minimal preparation and support before proceeding.	Good
2	Some key factors for success are present. Requires substantial preparation and support before proceeding	Fair
1	All or most key factors for success are absent or very weak. Requires extensive preparation and support before proceeding.	Low

7. Vision and Change Agenda

Definition

- Presence of clear and engaging strategic directions, such as vision, mission, goals and strategies that are elicited from and communicated to targeted stakeholders for ownership and buy-in.
- Presence of clear and engaging strategic directions, such as vision, mission, goals and strategies that are elicited from and communicated to targeted stakeholders for ownership and buy-in.

Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

8. Executive Sponsorship

Definition

- Presence of committed leaders (both formal and informal) in various layers of the organisation who advocate for the planned reforms, and help in developing a critical mass of change

Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

9. Track record for implementing reforms / changes

Definition

- The organisation has demonstrated capacity to lead, steer, implement and evaluate strategic reforms in the past that have yielded positive outcomes/results.

Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

10. Absorptive capacity of the organisation for change

Definition	
<ul style="list-style-type: none"> Ability of the organisation to absorb new learning, skills and practices with little or no downturn in performance; ability of the organisation to complement and harmonize changes. Ability of the organisation to manage simultaneous change initiatives. 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

11. Level of Awareness and Desire for Change

Definition	
<ul style="list-style-type: none"> Extent of awareness and understanding of the people affected by the change to implement the desired change (i.e., reform agenda) 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

12. Level of Knowledge and Ability for Change

Definition	
<ul style="list-style-type: none"> Ability of targeted people to sustainably implement the desired change agenda 	
Assessment	Evidences
Level:	
Description:	
Interpretation:	
Overall Observation and Analysis	

Part Four: Integrative Analysis and Recommendations

E. Analysis of Organisational Capacities

Identify major strengths and areas for improvement based on the results shown above. Analyse possible causes or sources of strengths and weaknesses within and outside the organisation. Discuss the implications of the findings on the following aspects: 1) level of attainment of desired outcomes of the priority thrusts, 2) rate of success/failure of the proposed HROD intervention, 3) kinds of risks that are probable given the results and the required risk and change management initiatives to respond to the risks and change readiness issues. Discuss the relationship of the findings on this component to the findings in the other components (Competencies, Change Readiness).

F. Analysis of Competencies

Identify major strengths and areas for improvement based on the results shown above. Analyse possible causes or sources of strengths and weaknesses within and outside the organisation. Discuss the implications of the findings on the following aspects: 1) level of attainment of desired outcomes of the priority thrusts pertinent to the SOC, 2) rate of success/failure of the proposed HRD intervention, 3) kinds of risks that are probable given the results and the required risk and change management initiatives to respond to the risks and change readiness issues. Discuss the relationship of the findings on this component to the findings in the other components (Capacities, Change Readiness).

G. Analysis of Change Readiness

Analyse the probable factors existing in the internal and external environments of the organisation that affect the level of readiness for change of this organisation, as shown by the above results. Discuss the possible effects of the findings on current and future change initiatives.

H. Overall Observations and Recommendations

Discuss other observations of the partner organisation and the LSP/OA Team that were not captured in the previous items, e.g., norms/culture of the organisation that affects performance, external factors that affect the morale and political environment of the organisation.

Prioritize the implementation of HR/OD interventions identified above, and discuss the reasons behind the prioritization. Provide specific recommendations pertaining to: 1) the appropriate HR/OD approach and management style to effectively deliver the proposed HR/OD, 2) the critical strategies that must be utilized to manage the different stakeholders in the organisation and the possible risks to the proposed HR/OD interventions, and 3) the important measures to ensure ownership of HR/OD interventions and the sustainability of their gains and achievements.

Part Five: Proposed HROD Interventions

Year One Interventions Prioritized HR/OD initiatives to address the OA findings		Provide the purpose of each of the interventions and discuss how these interventions will address the findings of this organisational assessment. Identify the desired capacity and competency outcomes for each intervention. Outcomes are expected results that contribute to the attainment of the goals and objectives of the priority thrusts of the organisation.
Priority	Intervention	Purpose and Expected Outcomes
1		
2		
3		

Annexes

References



ix. Endnotes

^a <http://www.dap.edu.ph/rbpms/about/>

^b The development of the WDO Model was supported by the Australian Government through the Philippines-Australia Human Resource Development Facility (PAHRDF).

^c CIDA, Organization Assessment Guide (2006). [http://www.acdi-cida.gc.ca/INET/IMAGES.NSF/vLUIImages/Performancereview6/\\$file/OA%20Guide-E.pdf](http://www.acdi-cida.gc.ca/INET/IMAGES.NSF/vLUIImages/Performancereview6/$file/OA%20Guide-E.pdf)

^d http://www.pqa.org.ph/downloads/pqa_brochure.pdf

^e <http://www.prosci.com/adkar-model/overview-3/>

^f <http://www.merriam-webster.com/>

^g <http://www.philippines.embassy.gov.au/files/mnla/Australia-PhilippinesSoCDevelopmentCooperationStrategy2012-2017.pdf>

^h Organisations may also use the Leadership Competency Framework that was developed by the Civil Service Commission as part of the Leadership Certification Program, a project funded by the Australian Government through PAHRDF.

ⁱ RW Johnson Foundation, Qualitative Research Guidelines Project, <http://www.qualres.org/HomeTria-3692.html>.

^j <http://www.socialresearchmethods.net/kb/sampling.php>

^k "Outliers, to drop or not to drop." <http://www.theanalysisfactor.com/outliers-to-drop-or-not-to-drop/>

^l <https://www.702010forum.com/about-702010-framework>

^m http://www.cypressmedia.net/articles/article/26/six_principles_of_technical_writing;
<https://learntechwriting.wordpress.com>