Nick Thijs, Senior Advisor on Administration Reform & Service Delivery, OECD

- Administrative Capacity Roadmaps: *Indicators of Success*

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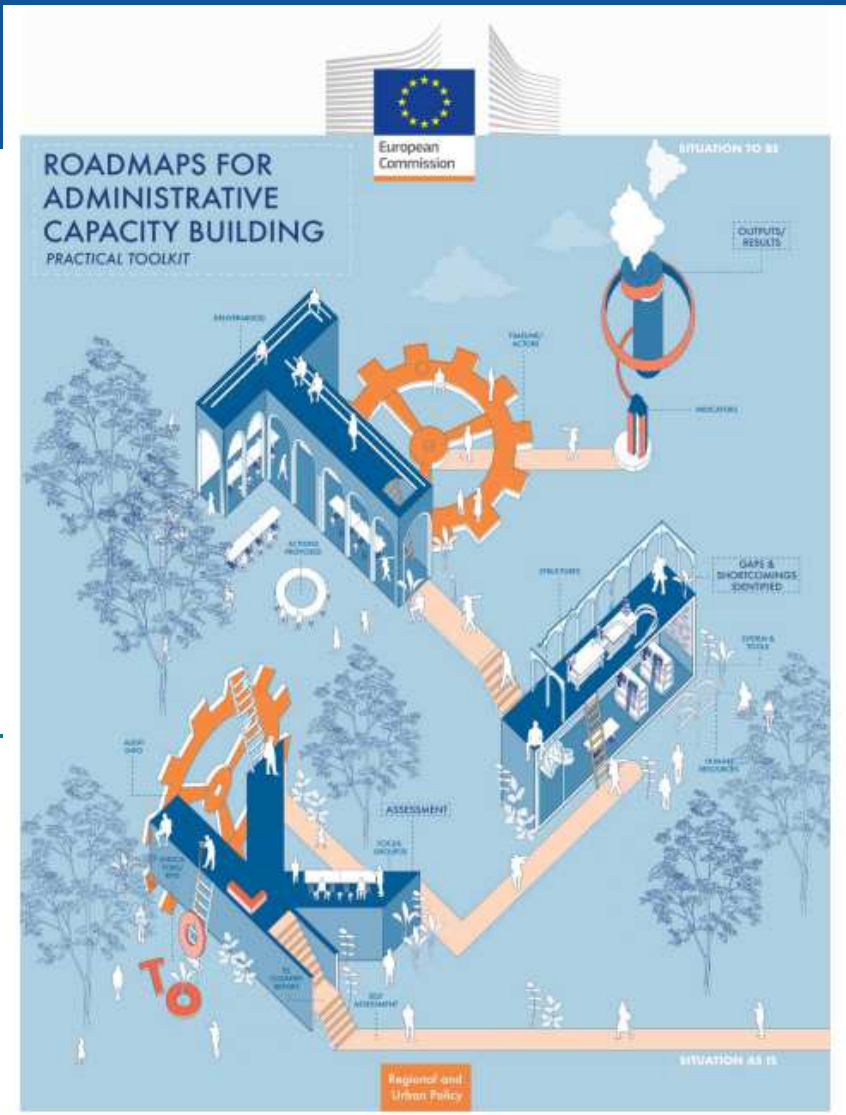
Zooming-in

European Commission

Why — What — How — **Indicators**



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Content

1. The importance of the **content** (WHAT) and **process** (HOW) of building roadmaps…

2. …leading to useful ACTIONS and GOALS

3. The search for **indicators**

   a) Why measure? The purpose and usage ?

   b) How measure? 5 steps process.

4. **Examples** and **discussion**

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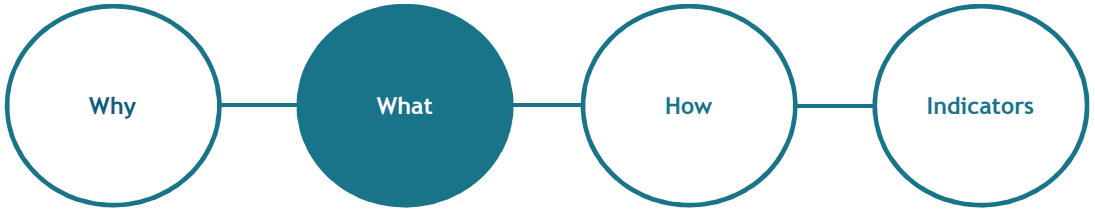

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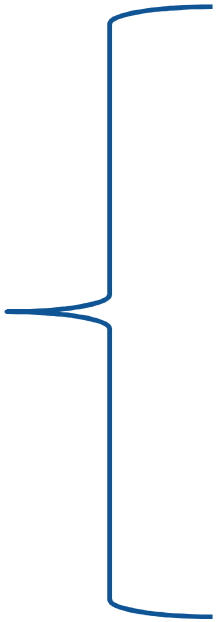
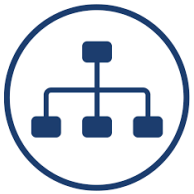
Capacity Building Elements

Individual

Organisational



Processes / Systems & Tools



Structures

Resources

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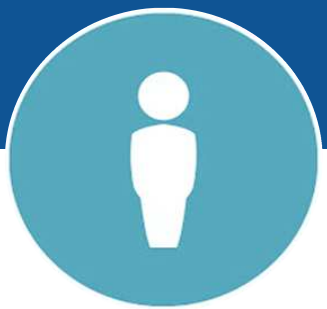
Focus on Individual



<u>Skills and competences</u>:

⇒**(*who*)** *through development of skills at all levels of the professional hierarchy within public authorities, including*

✓ training of different categories of staff

✓ traineeship programmes for on the-job-training

✓ learning networks, etc.

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Focus on Entities

Processes: (***how)***

⇒ *in terms of rules, procedures, tools, working methods) through*

- ✓ modernising and optimising the **internal processes**, incl. by introducing new working methods/organisation, development of quality management systems, adoption of IT systems, etc.
- ✓ improving the interaction between institutions and with **stakeholders**, incl. by improving **coordination**, tools and methods for **evidence-based** policy making, mechanisms **for public participation**, actions for better law implementation and enforcement, tools for increased **transparency** and accountability, etc.
- ✓ improving the **delivery and quality of services**, incl. by reforms for reducing administrative burden, integration of services (focus on back office); one-stop shop delivery (focus on front office); e-government, etc.

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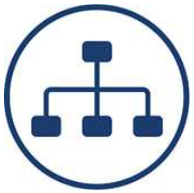

<u>Organisation/structure</u>: (*how)*

⇒ *in terms of structure and organisation of departments, functions etc.) through*

- ✓ developing appropriate administrative structures, incl. through reallocation of functions, decentralisation, improving management structures, etc.

<u>Resources</u>: (*what*) mainly covering

- ✓ informational and technical resources.
- ✓ development and implementation of human resources strategies and policies covering the main gaps in this field (as regards staff requirements and career development).

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Conclusion / Reflection

‘Balanced’ roadmaps

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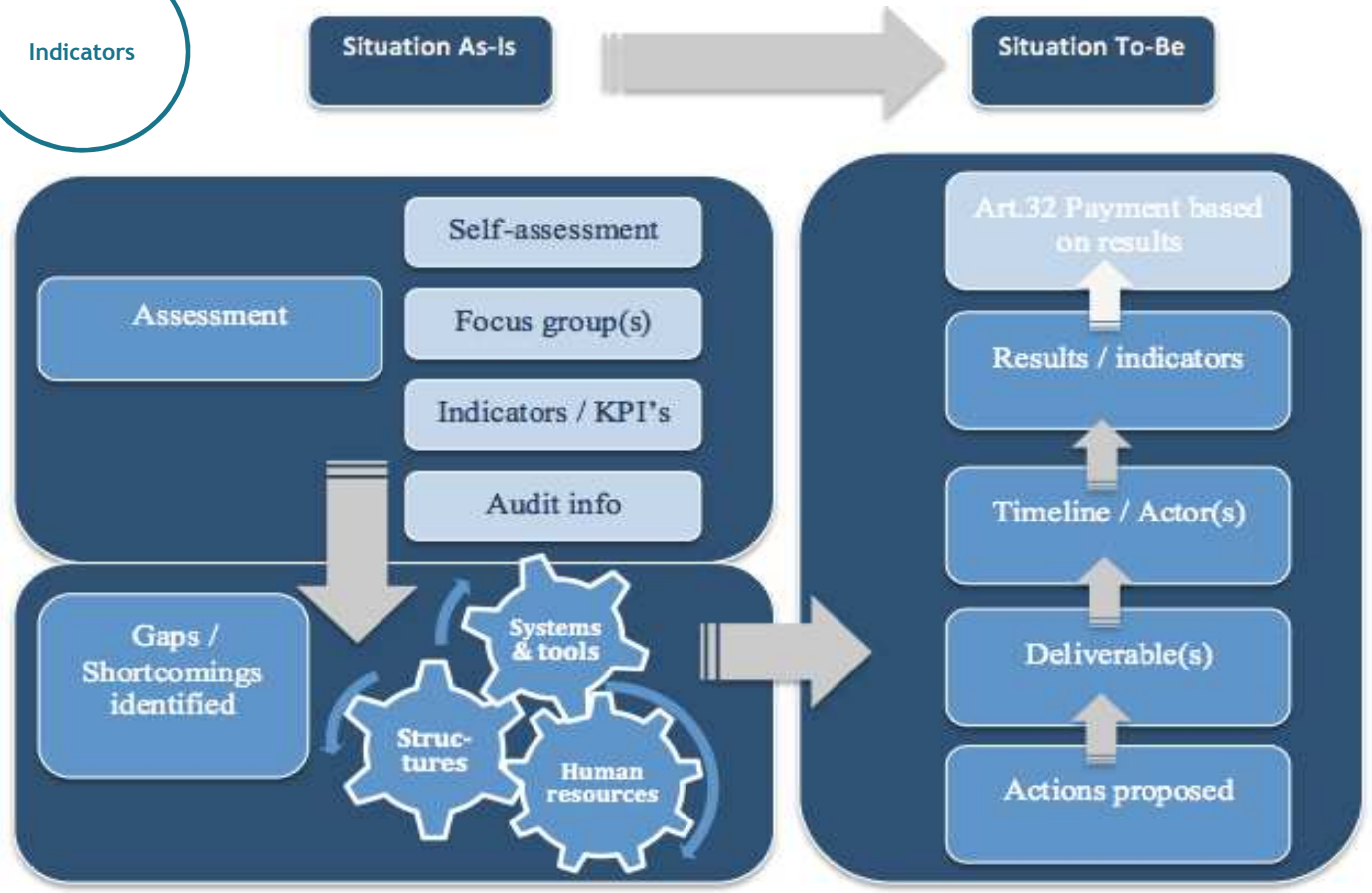
European Commission

Why | What | How | Indicators



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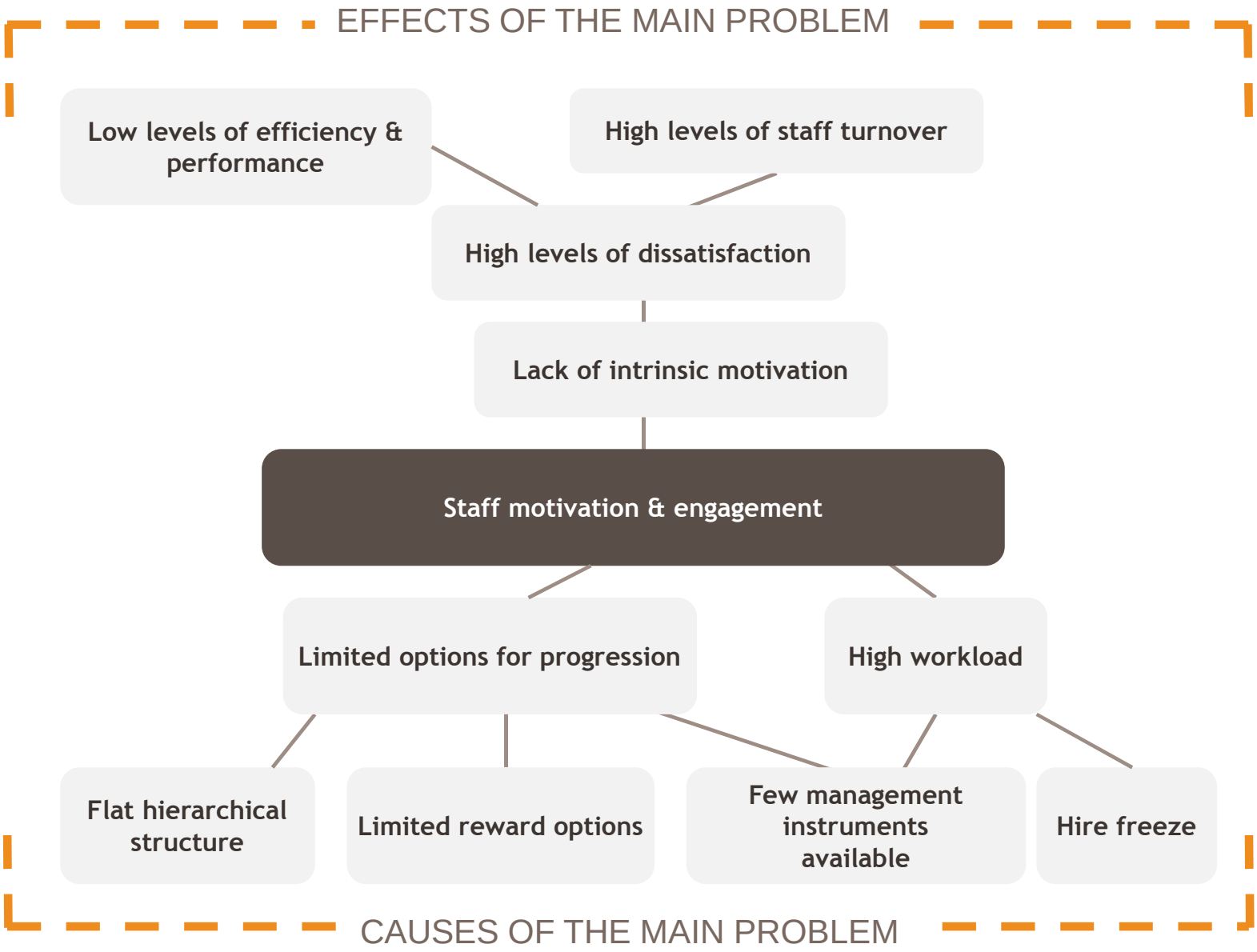
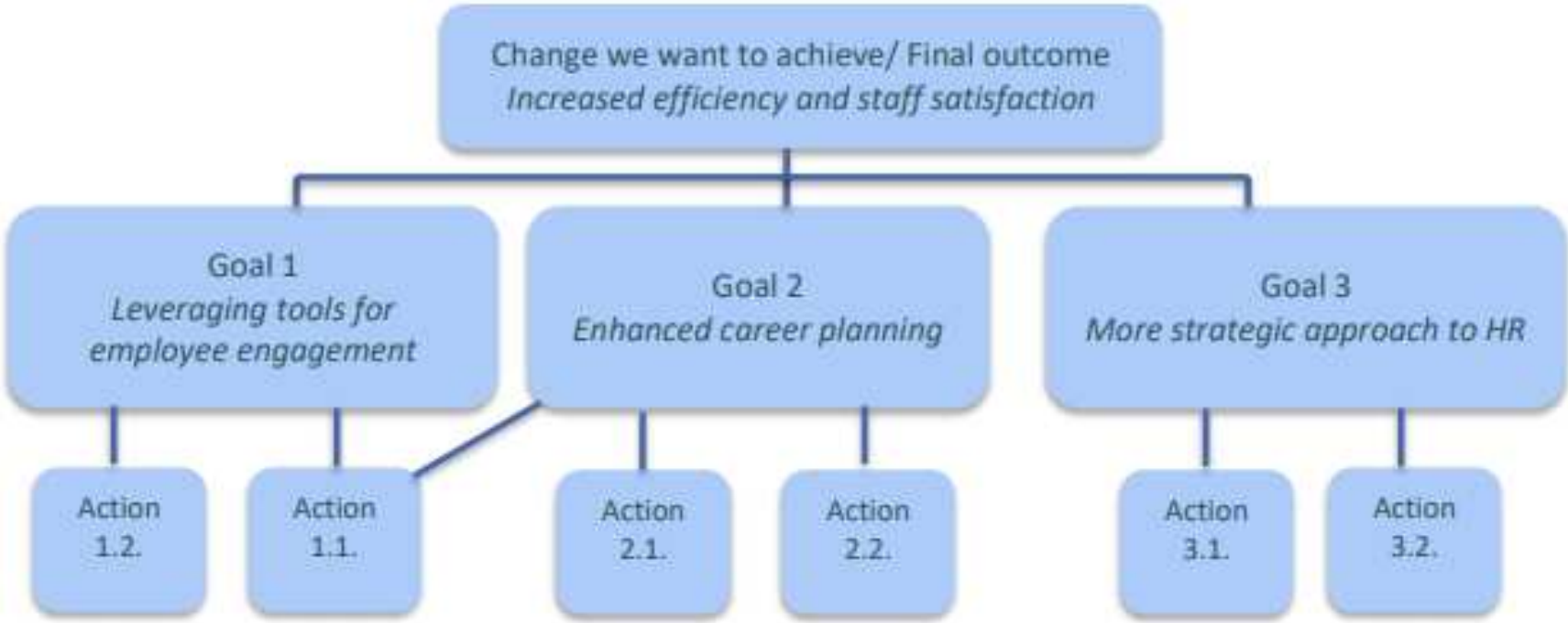

EFFECTS OF THE MAIN PROBLEM
Low levels of efficiency & performance
High levels of staff turnover
High levels of dissatisfaction
Lack of intrinsic motivation
Staff motivation & engagement
Limited options for progression
High workload
Flat hierarchical structure
Limited reward options
Few management instruments available
Hire freeze
CAUSES OF THE MAIN PROBLEM



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Detailed actions relating to human resources management – some examples	
Goal 1: Leveraging tools for greater staff motivation	*Action 1.1. Establish periodic staff surveys covering various aspects of work*
	Action 1.2. Pilot an internal mobility scheme
Goal 2: Enhance career planning	*Action 2.1. Review performance management system*
	Action 2.2. Establish an exit survey of staff
Goal 3: Towards a more strategic approach to human resource management	*Action 3.1. MA to organise a series of workshops/seminars for senior leaders on HR challenges and strategic HRM*
	Action 3.2. Hold a specific workshop on talent management for HR unit representatives, staff with HRM responsibilities and/or senior management

Roadmaps not only on HR issues!!!!

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Conclusion / Reflection

‘Useful’ roadmaps

- ❑ Realistic
- ❑ Ambitious
- ❑ To the point!!!

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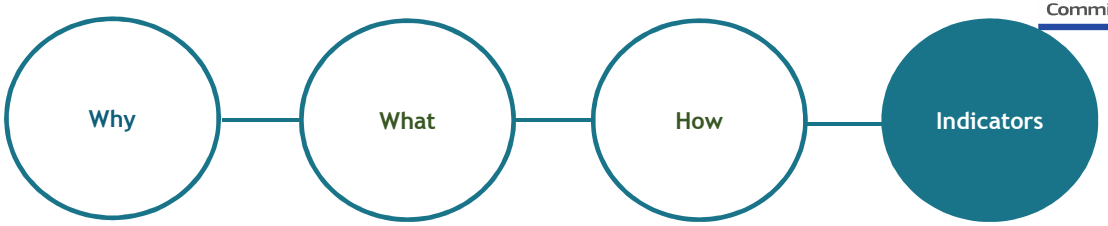

The roadmap should encompass a comprehensive set of indicators that enable:

1. implementation progress to be tracked,
2. the main outputs of the actions to be captured, and
3. the goals (i.e. the intended change) to be achieved.

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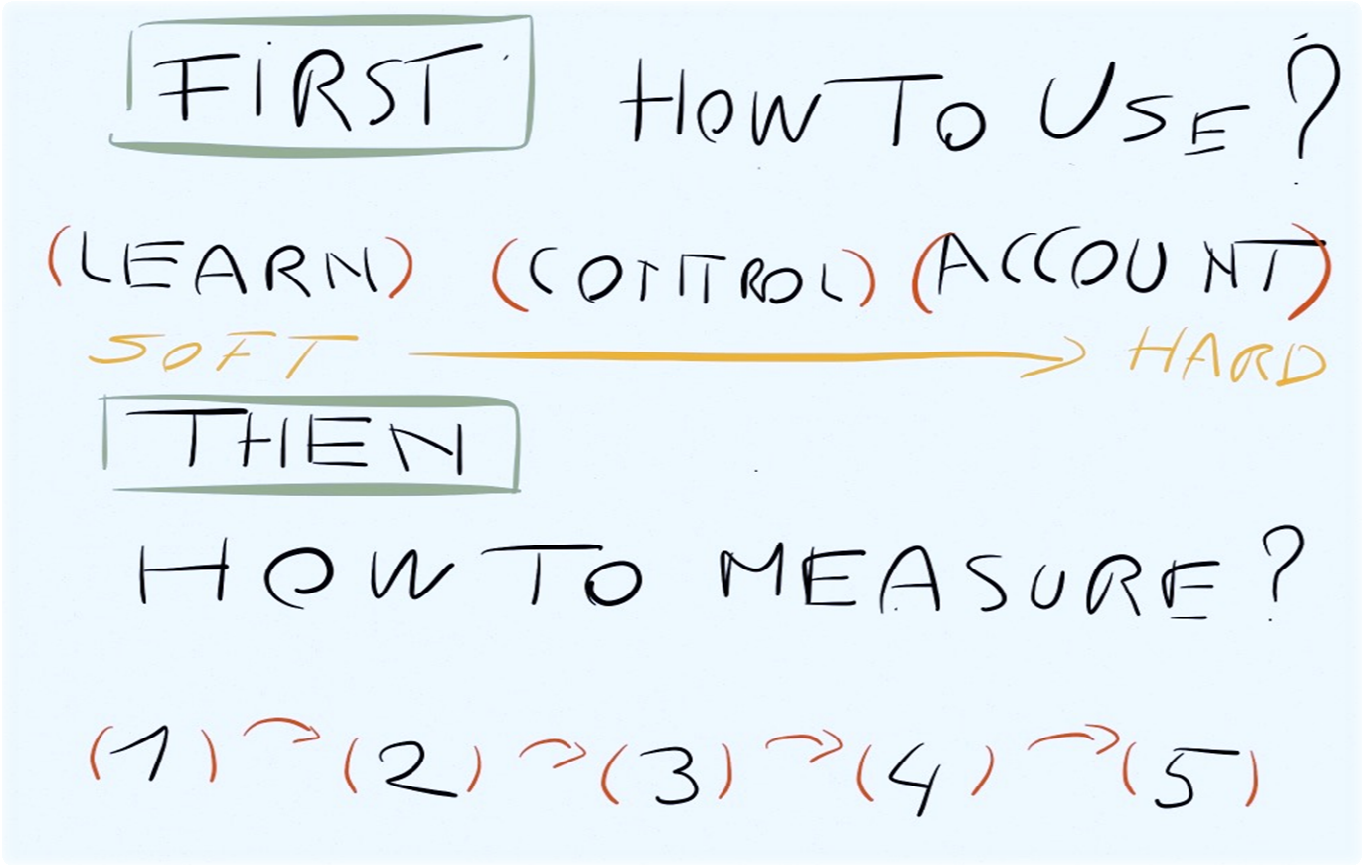

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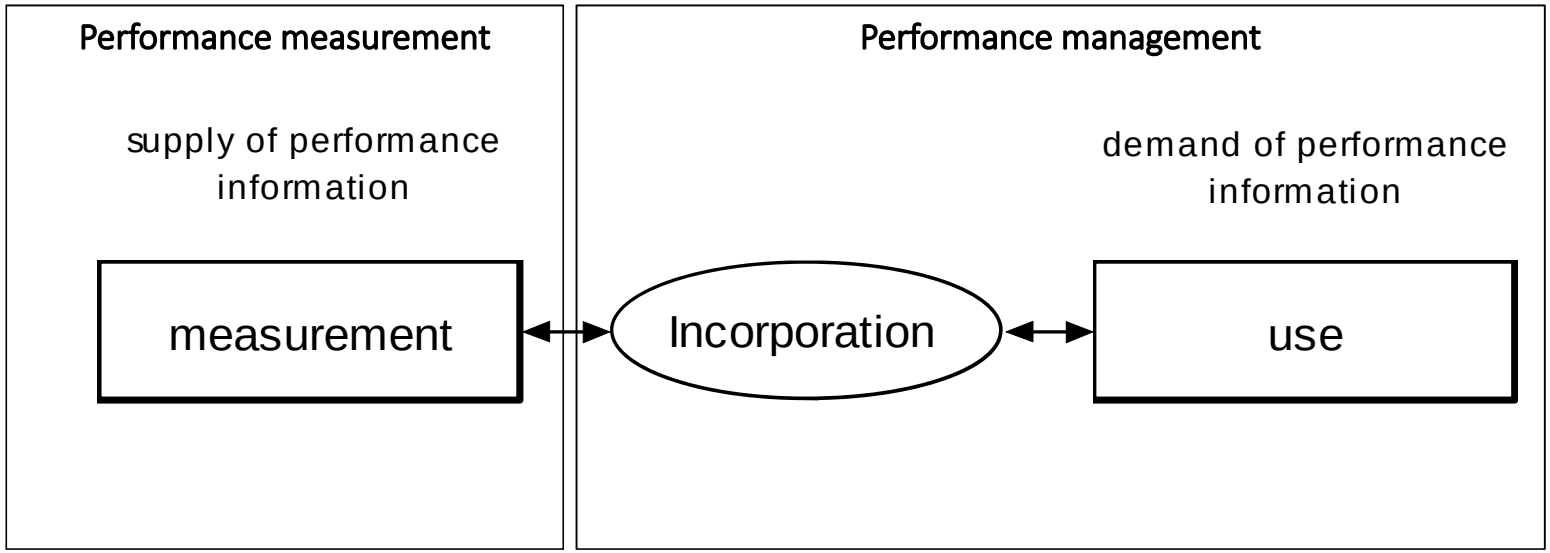
Some basic definitions



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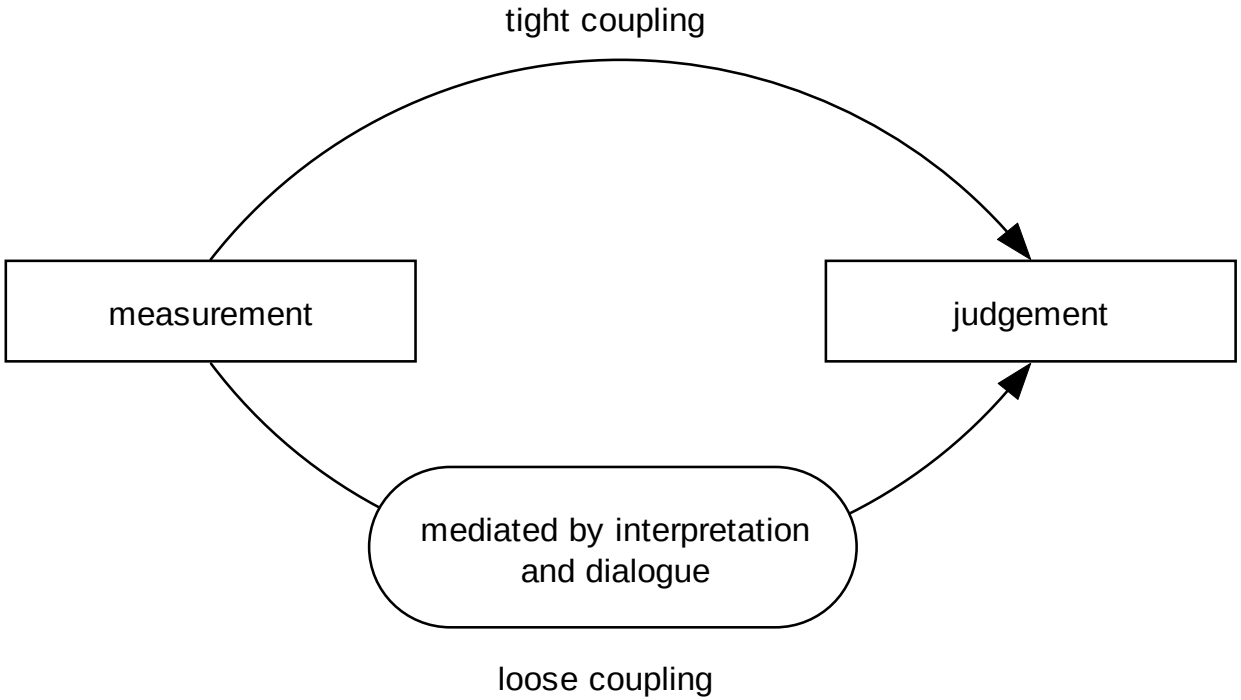
Use of PI

Tight or loosely coupled systems??



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Use of PI

	To learn	*To steer & control*	*To give account*
Key question	How to improve policy or management?	How to be in command of activities?	How to communicate performance?
Focus	Internal	Internal	External
Orientation	Change/future	Control/present	Survival/past

Actionable, 'interesting' indicators – innovative

Robustness and validity undisputed

Monitoring indicators

Financeable indicators

Assess whether there is a match between purposes of measurement systems and design?

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Conclusion / Reflection

Why do you want to measure it?

To who do you need / want to report it?

Useful / Pro-forma?

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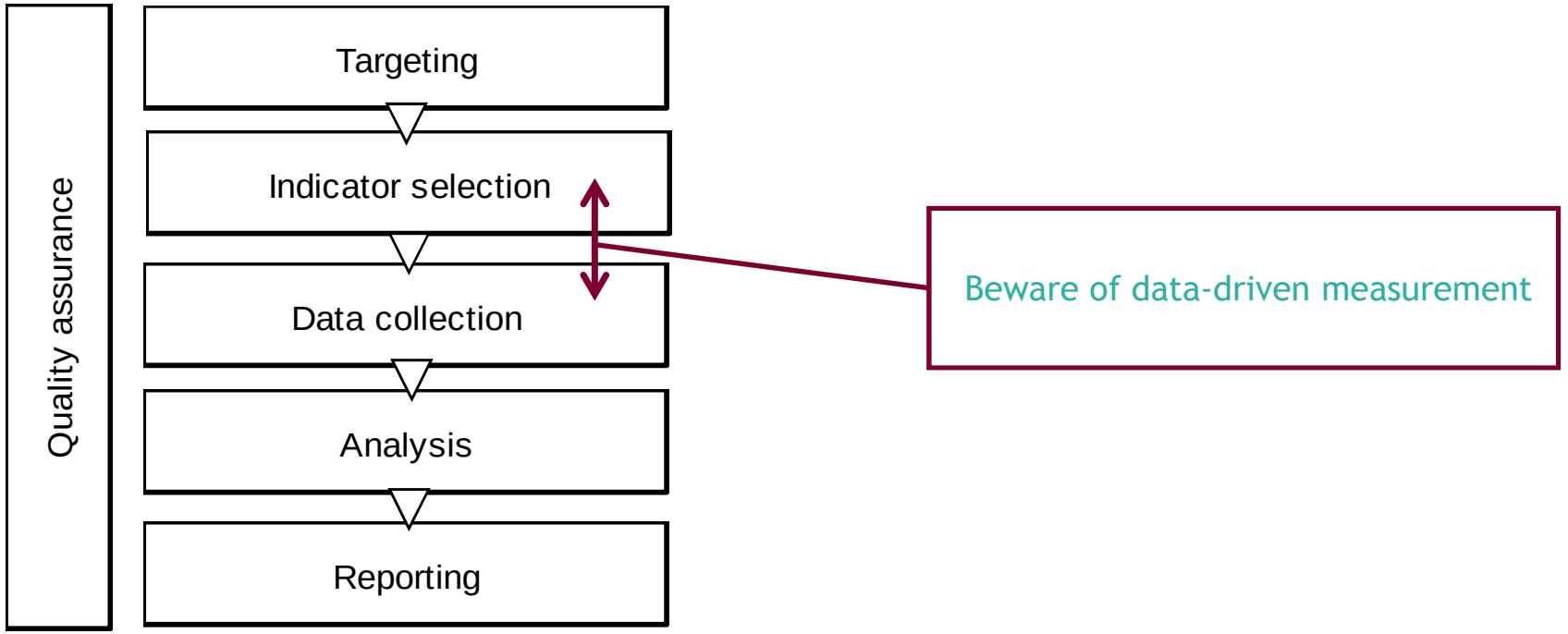
Performance measurement as an ideal-typical process



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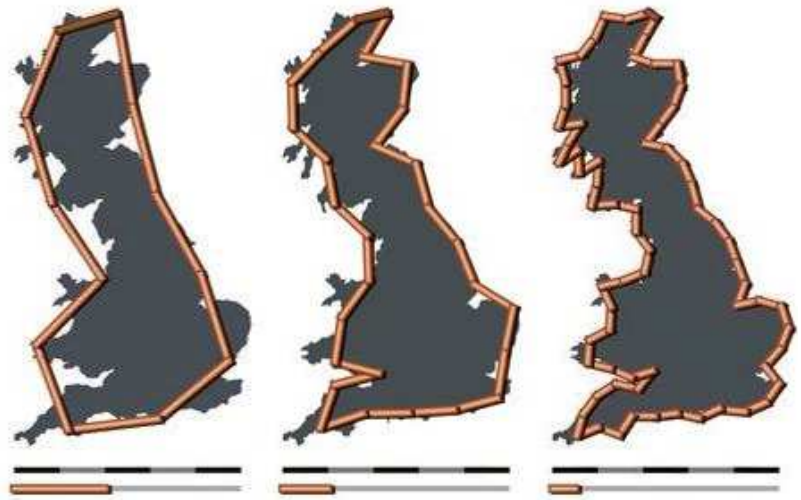
Step 1: Targeting the measurement effort

You cannot measure everything!

→ Risk of mushrooming of indicator sets

→ Risk of measurement-bureaucracy

Therefore, a selection of activities, programmes, or objectives is needed.
Targeting is not the same as target-setting (see below).



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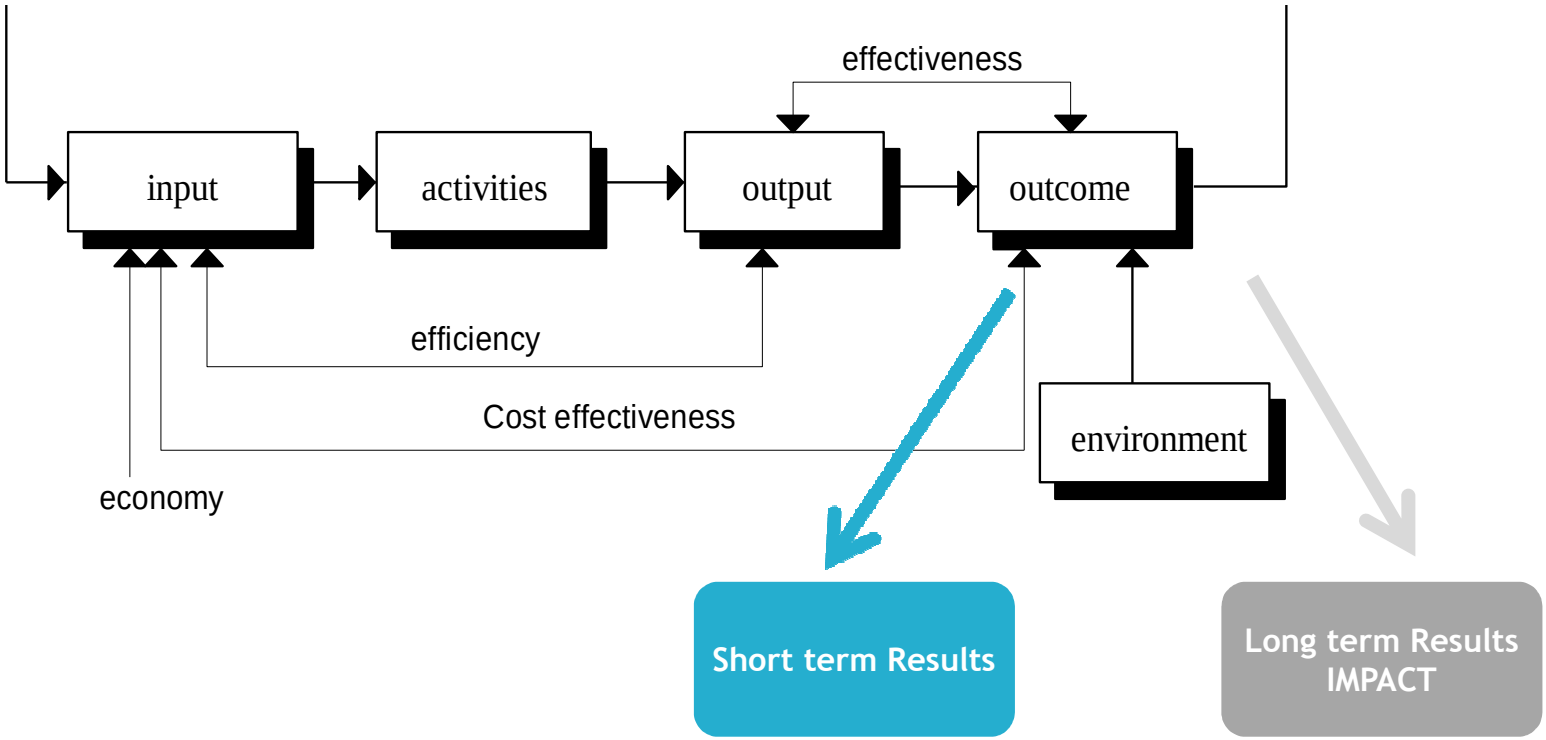
Step 2: Indicator selection

Good performance indicators focus on input, activities and results.



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Step 2: Developing Indicators

input: all human, material and immaterial resources (e.g. finance, personnel, equipment,) necessary to perform an activity

activities (throughput): actions performed by an organization to deliver certain outputs

output: products and/or services which result from performed activities; outputs are delivered with the intention to cause specific outcomes

outcome: consequences of outputs; refer to situational changes in a policy domain for specific target groups (e.g. unemployed, youth, poor, cohesion regions...) or regarding specific phenomena (e.g. pollution, road accidents, investments, economic development ...)

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Step 2: Developing Indicators

Furthermore, good indicators are ….

1. Sensitive to change
2. Precisely defined
3. Understandable for users
4. Documented → meta file
5. Relevant
6. Timely
7. Feasibility of data collection
8. Comparable
9. Actionable

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Step 3: Data Collection

Data source	Advantages	Disadvantages
Existing registrations	Continuity (time series) low cost in-house, good insight into quality and content readily available	path dependent focus no drop out data less focus on outcome
Additional registrations	continuity in-house, good insight into quality and content	'hidden' costs medium- to long-term availability
Surveys	suitable for outcome information	high cost medium term availability response rate issue
Self-assessments	low cost combination of quantitative and qualitative approaches linked to operations	perceptual risk of gaming

Step 3: Data Collection

Technical measurement	non-obtrusive	limited applicability on human services risk of technocracy
External observers	limited obtrusiveness observers are not involved	high costs for specialised observers medium to long term availability
Other public organisations	usually low cost short term availability	confidentiality and privacy issues may interfere with data exchange less insight into quality and content (definitions)
Statistical, international, and research institutions.	good quality authoritativeness readily available moderate costs continuity	not directly tailored to organisation's needs only outcomes

Step 4: Analysis

Is data properly analysed?

Three interpretation strategies to make sense of the data

- → Norm-setting (a must for accountability use)
- → Breaking out data (more for learning and steering & control)
- → Causal analysis (mainly a learning strategy)

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Step 5: Reporting

Match format with audience

- Annual reports and annual plans
- Financial documents: budget and accounts
- Specific publications Interactive information on a website;
- oral witnesses
- news flashes
- publicity
- scorecards

- the general public
- mass media: newspapers, radio, television
- interest groups
- advisory boards
- international institutions
- other governments
- executive politicians
- parliament
- the board of the organisation
- top management
- middle management

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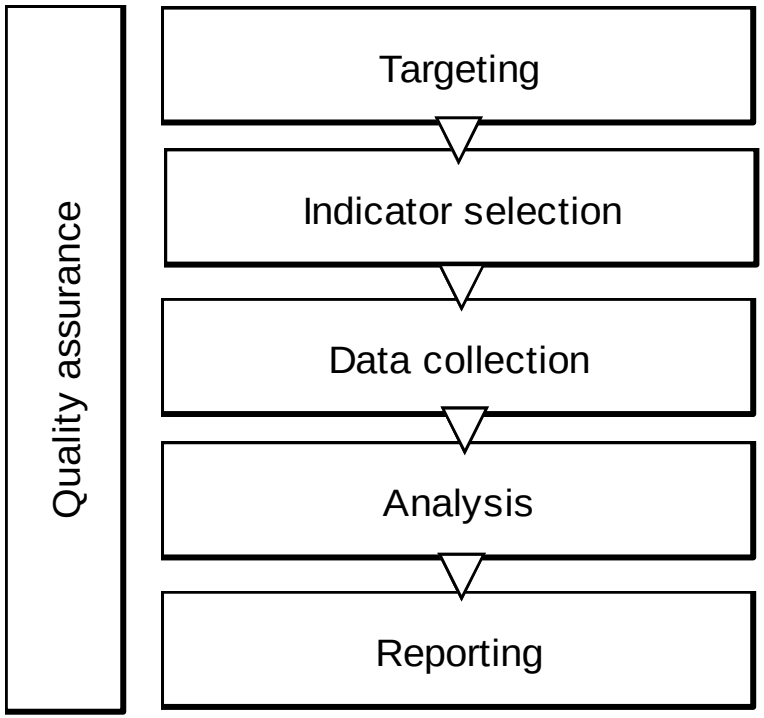
Quality assurance

- Quality assurance throughout the process
- More than statistical quality



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Quality assurance

- Functionality: fit for use
- Validity and reliability
- Legitimacy

	High validity	**Low validity**
High Reliability	Right	precisely wrong
Low Reliability	roughly right	wrong

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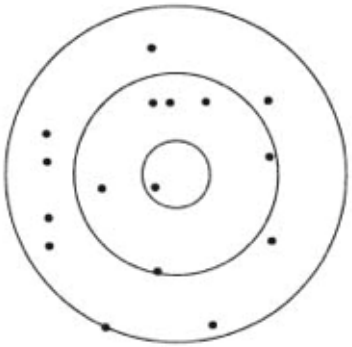
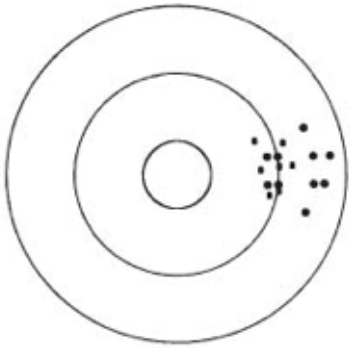


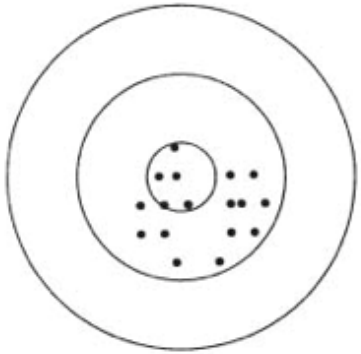
Neither valid nor reliable

The research methods do not hit the heart of the research aim (not 'valid') and repeated attempts are unfocussed



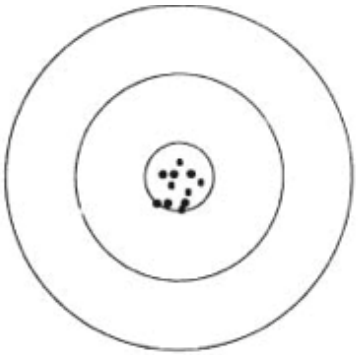
Reliable but not valid

The research methods do not hit the heart of the research aim, but repeated attempts get almost the same (but wrong) results



Fairly valid but not very reliable

The research methods hit the aim of the study fairly closely, but repeated attempts have very scattered results (not reliable)



Valid and reliable

The research methods hit the heart of the research aim, and repeated attempts all hit in the heart (similar results)

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Conclusion / Reflection

Technical quality is not the only quality of indicators.

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Examples

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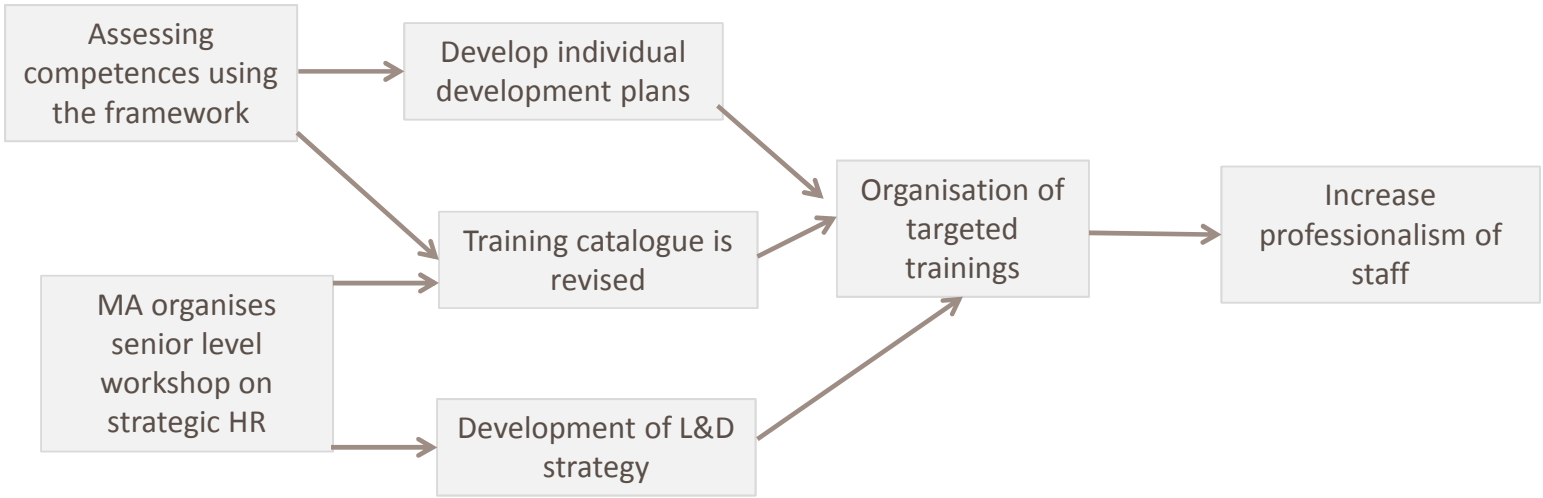
Example of Performance frame and indicators (1)



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Example of Performance frame and indicators (1) cont.

% staff plans developed

Develop individual development plans

% staff participating

Assessing competences using the framework

Training catalogue is revised

Organisation of targeted trainings

trainings

% targeted staff participating

% staff participating receiving certificate

Levels of satisfaction

Increase professionalism of staff

Trends in satisfaction

Efficiency data

Satisfaction of stakeholders

MA organises senior level workshop on strategic HR

Development of L&D strategy

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Action	Proposed indicator(s)	Type of indicator	
		Financeable	Monitoring
Assessing competences of staff by using the self-assessment framework	% staff undertaking a self assessment using the framework	X	
The development of individual development plans	% of staff for whom an individual development plan has been developed	X	
The organisation of targeted trainings	number of trainings organised	X	
	number of staff participating	X	
	% of staff receiving a certificate	X	
	level of satisfaction of participants to the trainings		X
	general staff satisfaction		X
Increasing professionalism	staff turnover		X
	efficiency data – process times		X

Example of Performance frame and indicators (2)

Carry-out organisational mapping exercise

Establish working group to improve internal communication

Establish working group to improve workflows

Investigate ways for engaging temporary staff

Carry-out staff survey on job satisfaction & work life balance

Communicate the results and action drafting action plan

Increase staff motivation & satisfaction

Training needs assessment

Training catalogue is revised

% staff participating

Levels of satisfaction

Trends in satisfaction

Feasibility study on mobility scheme of short term assignments

Running mobility scheme of short term assignments

people participating

HR indicators:
- Turnover rate
- Absenteeism
- …

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Example of Performance frame and indicators (3)

Assessment of the current procedure and needs of the stakeholders

LEAN project on re-design the procedure

Feasibility study on e-invoice system

Installing e-invoice system

Simplified payment procedure

- Reduction of payment time
- % amount payments with X days
- Satisfaction of stakeholders

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Example of Performance frame and indicators (4)

of partnerships

Signed partnerships with CSO's

# of visits

Establish and anti-fraud and corruption strategy

Assessment of working procedures to identify high-risk steps and staff involved

Installing open data portal on spending

Reduction of fraud and corruption

Complaints

Single bidding data

…

Training of staff on integrity and ethical dilemma's

trainings

% targeted staff participating

% staff participating receiving certificate

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Intervention logic

Increased regional development

contribution of the funds (absorption, different # beneficiaries,....)

Performance of the the MA
Efficiency, Service delivery Stakeholders satisfaction

contribution of the ACB Actions ?

Administrative Capacity Building Actions

Indicator Logic

Impact
Effectiveness

LT Results
Efficiency

Output
Change
Situation

Throughput
Activities

PI Logic

Learning

Managing

Accountability

Annexes

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2021 – 2027 Legal Provisions

- **Capacity building directly linked to investments** under Art. 2.3 ERDF and CF

  A) programme authorities

  B) bis sectoral or territorial actors
- Capacity building for **social partners and civil society** Art. 8.2 ESF+
- **Standard technical assistance** (flat rate or real costs) Art. 30 CPR
- **Financing not linked to costs** for technical assistance Art. 32 CPR
- Combining different capacity building options

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Financing not linked to costs 2021 -2027 (the new CPR)

- Additional actions to **reinforce capacity** of MS authorities, beneficiaries and relevant partners necessary for the effective administration and use of the Funds (Article 32)
- Support for such actions shall be **based on conditions** to be fulfilled or **results** to be achieved (Article 89)
- **Actions, deliverables and corresponding Union payments can be agreed in a roadmap** (Recital 25)

* * *

There is no ceiling for how much funding can be allocated to capacity building actions

Audits will only verify if conditions are fulfilled, or results achieved

Information needed for linking payments to achievements / deliverables

- the overall amount to be covered and for which type of operations;
- a description of the conditions to be fulfilled or of the results to be achieved (**final deliverables**);
- a timeline;
- **intermediate deliverables** (if applicable) triggering reimbursement by the Commission;
- **measurement units (indicators)**;
- the schedule for reimbursement by the Commission and related amounts linked to the progress

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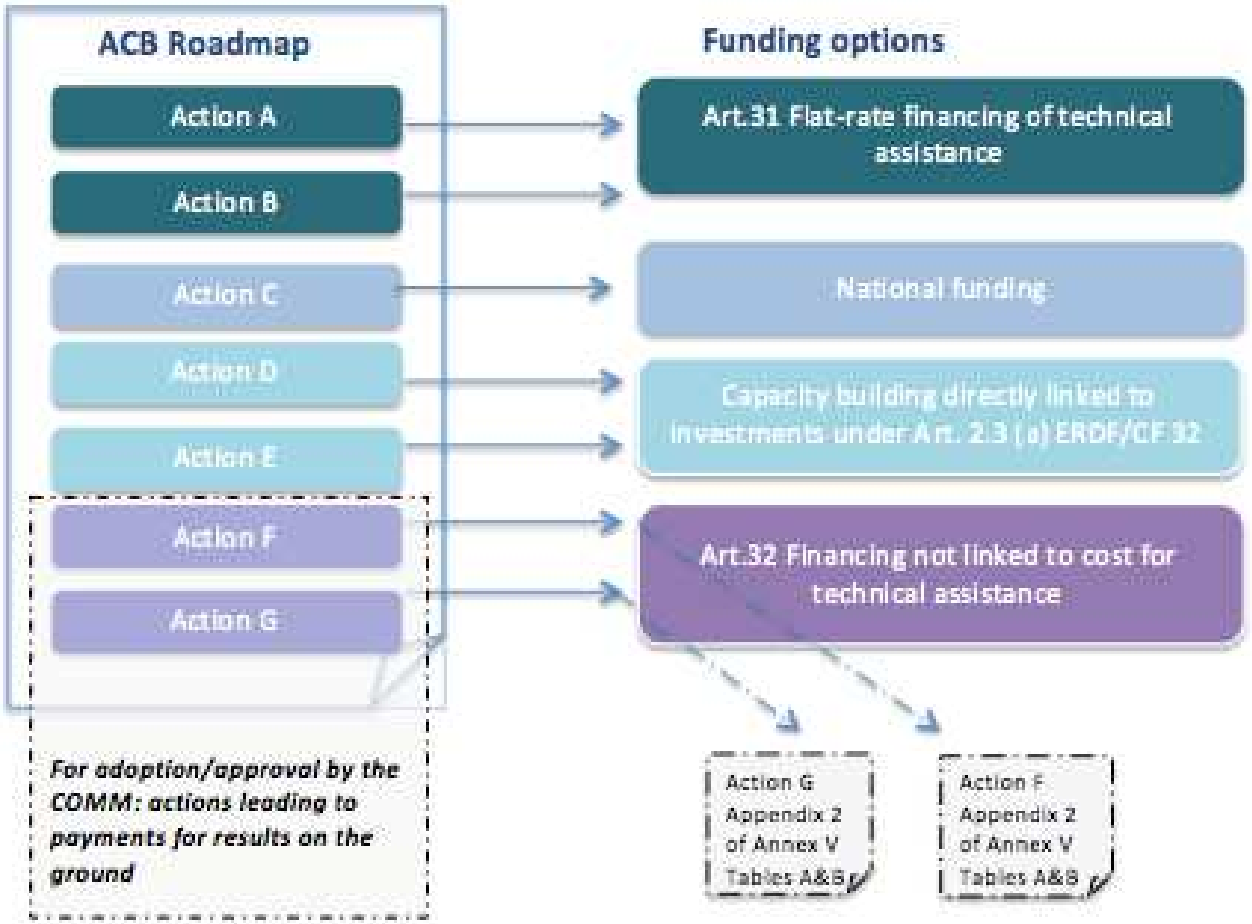
Graph 1: Visual presentation of ACB roadmap and link to TA and capacity building linked to ERDF/CF investments



Thank you for your attention!

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