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OECD SURVEY ON STRATEGIC HUMAN RESOURCES MANAGEMENT

**Human Resources Management (HRM) Working Party Meeting
OECD Headquarters, Paris, 7-8 October 2002**

This document is the final version of PUMA/HRM(2002)3 presented to the Human Resources Management Working Party Meeting held on 7-8 October 2002, which accommodates various comments made by OECD Member countries. Please send your completed questionnaire to Deok-Seob Shim at the Secretariat no later than 31 March 2003.

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OECD SURVEY ON STRATEGIC HUMAN RESOURCES MANAGEMENT

Objectives of the Survey

1. In the area of traditional or core HR management, there is a large array of micro-activities including recruitment, training & development, promotion, performance, pay and incentives, conditions of employment, classification, and senior civil service. There are also many macro issues such as the legal framework of HR management, size of the workforce, openness of the posts, managerial flexibility, role of the central HRM body, and decentralisation & devolution.
2. It should be noted that HR policy and management are at the centre of public sector capacity of future governments. How governments should manage their human resources will be the key to the success of change as well as to enhanced productivity in the public sector. In this respect, collecting basic information on HRM systems would be the first but essential step for exploring new issues in the HR management area.
3. The goal of this survey is to analyse HRM policies and systems across OECD Member countries, and make a cross-national comparison on the governance of civil service and civil service reforms. The survey gathers both quantitative and qualitative information and data on HR management in the public sector, which will eventually help Member governments to adapt their HRM strategies to a changing environment.

Scope of the Survey

4. The survey will cover **only HRM systems and policies**. It is very usual for discrepancies to exist between the system itself and its practice in any one country. Due to the subjective nature of examining practices, however, the survey will exclude the practice aspects. In order to avoid redundancy of data collection, the areas of knowledge management (a new survey was launched) as well as public service ethics (a separate survey was carried out) – will be excluded from the survey.
5. Nearly **all aspects of HRM systems** will be covered in the Survey. They can be categorised as follows: 1) institutional arrangements – governance of HR management – such as basic laws on the civil service, civil servant status, and central HRM body; 2) institutionalised HR systems such as recruitment, training and development, promotion, and classification; and 3) motivational aspects of HR systems which drive civil servants to enhance performance such as performance management, pay and incentives, working conditions, and industrial relations.
6. In addition to the static information, the survey includes **dynamic aspects** to review the HRM developments during the past five years. In each section, the survey requests respondents to describe major changes or developments that have occurred during the past five years. It will provide development trends in each HRM area.

Survey methodology

7. The survey is in the form of a **questionnaire**, with the target group of OECD Member countries. All OECD Member countries are encouraged to participate in this survey. The questionnaire comprises “tick-the-box” items and “open question” items. The former will help us to compare data across countries, while the latter will enrich the contents and quality of data collected. For comparative purposes, some **indicators** will be established in advance for some possible areas.

8. The survey will be carried out **biennially**. For the second survey, the administrative burdens of Members will be significantly reduced because they can just revise their previous responses. In order to enhance the degree of validity and reliability, the survey will make use of **peer reviews** from HRM networks as well as external experts in the process of analysing data.

Output of the Survey

- **Basic source for HRM developments.** The results of the survey will be presented at the HRM Working Party meeting and the Public Management Committee if necessary, as a background paper on HRM development trends.
- **Publication on comparative analysis of HRM systems.** The data will be worthy of comparison between countries, because data collected allow for common standards. Comparative analysis will provide Members with benchmarking standards and will contribute to academic knowledge in this field. The first edition of this publication will be available during the third semester of 2003.
- **Basis for further study.** When the survey becomes systemised, OECD’s HRM projects can be based on factual foundations. OECD can identify problems and challenges faced by Member countries from these data sets.
- **Continuous provision of information.** The country data will be posted on the HRM Electronic Discussion Group site so that every network member can consult the data as freely as he/she wishes.

Publicity of information

9. Please note that all results of the survey **will be made publicly available**, unless specifically requested by the respondent.

Target respondents

10. The HRM survey will be carried out for the **central (federal) level government only**, unless specifically indicated in the questions. Main target respondents are the HRM Working Party Members, who may co-ordinate responses from different sections within their government depending on the structure of ministries/departments.

Process and deadline

11. This survey offers, with some exceptions, the “tick-the-box” format: for each question, please tick the boxes which correspond to your answer(s). For open questions and comments, please fill in the blank space provided.

12. HRM Working Party members are cordially requested to designate a coordinator for the survey in their governments, and to inform the Secretariat of the name of the coordinator **by 31 January 2003**.

13 Respondents are kindly asked to return the filled-in questionnaire by **31 March 2003**.

Comments and inputs received

14. At the HRM Working Party Meeting held on 7-8 October 2002, delegates made useful and fruitful comments and inputs to the draft of the questionnaire. Apart from some technical comments on the questionnaire items, two issues were raised: possible duplication of the data collection with the EU, and the length of the survey.

15. The Secretariat has discussed the issue of data collection with the Chair of the HR Working Group in the EU. As a result, it was revealed that although the EU has collected some data in the field of recruitment and performance related pay, this survey does not duplicate their data collection. As for the size of the questionnaire, the Secretariat tried to reduce the volume of the survey by dropping several items. But some delegates requested to include other items and issues to the survey. As a result, the total size of the survey has been reduced a little bit compared with the original questionnaire.

Contacts

16. Should you meet any difficulty in filling in the survey, please do not hesitate to contact **Deok-Seob Shim** at the Secretariat. Please send the filled-in questionnaire to:

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SECTION 1. LEGAL BASIS FOR HUMAN RESOURCE MANAGEMENT (HRM)

1.1. In your government, do you have specific law(s) or regulation(s) which describe the basic rules for human resources management of public servants? (Different countries refer to them as “Civil Service Act”, or “National Civil Service Act”, or “Public Service Act”, etc.)

- Yes
- No (please go to Section 2)

1.1.a If yes, please list the law(s) and/or regulation(s) (which will be referred to as “Law(s)” hereafter).

1.2. Among the following HRM areas, please tick all the items that the above-listed Law(s) deal(s) with.

- | | |
|--|--|
| <input type="checkbox"/> Definition of public servants | <input type="checkbox"/> Performance management |
| <input type="checkbox"/> Role of central HRM body | <input type="checkbox"/> Remuneration/wage |
| <input type="checkbox"/> Number of public servants | <input type="checkbox"/> Pension |
| <input type="checkbox"/> Classification of public servants | <input type="checkbox"/> Rights/obligations of public servants |
| <input type="checkbox"/> Grading/ranking | <input type="checkbox"/> Ethics of public servants |
| <input type="checkbox"/> Recruitment/appointment | <input type="checkbox"/> Disciplinary action and procedures |
| <input type="checkbox"/> Promotion | <input type="checkbox"/> Industrial relations (labour union) |
| <input type="checkbox"/> Training/career development | <input type="checkbox"/> Retirement |
| <input type="checkbox"/> Others (please specify) | |

1.3. What are the basic values of the public servants which are specifically stipulated in your Law(s)?

- | | |
|--|---|
| <input type="checkbox"/> Legality | <input type="checkbox"/> Justice |
| <input type="checkbox"/> Impartiality | <input type="checkbox"/> Integrity |
| <input type="checkbox"/> Efficiency | <input type="checkbox"/> Responsibility |
| <input type="checkbox"/> Transparency | <input type="checkbox"/> Equality |
| <input type="checkbox"/> Others (please specify) | |

Please indicate the specific references to the relevant laws here:

1.4. If your government made significant revision of the Law(s) over the past five years, please describe the changes made while indicating the specific years.

1.5. In order to understand and compare the scope of public employment in OECD Member countries, please tick the relevant box (or boxes) which is/are appropriate for your government's case. If available, please provide the number of employees for each category.

Activity performed	Under civil service status	Under a contract governed by public law	Under a specific system governed by private law	Under the system governed by the labour code
Core functions of the state	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Regional, local and municipal government	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Public health services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Police	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Military staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commercial public services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Social security	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 2. ROLE OF THE CENTRAL HRM BODY¹

2.1. Does your government have a central HRM body (or bodies) which co-ordinates HRM activities for all ministries/departments/agencies?

- Yes
 No

2.1.a If no, who has the legal responsibility to take decisions on HRM policies? Please specify and go to **Section 3**.

2.2. Please list the name(s), organisational types of the central HRM body (bodies), and levels of the heads of HRM body (bodies).

Name(s)	Types			Levels of Heads (please describe)
	Department/ ministry	Commission	Others	
<i>e.g.) Civil Service Commission</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<i>Minister level</i>
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

2.2.a How many staff belong to the central HRM body (bodies) which are indicated in Question 2.2? Please do not include the number of HRM staff working for a specific ministry or department.

- Less than 50 50 – 99
 100 – 199 200 or more

If available, please provide the exact number of staff. (people)

1. **Central HRM Body** refers to the ministry/commission which takes charge of formulating and implementing HRM policies applied to all public servants of the government, or to all employees in the central government (in some countries, this group is referred to as “Civil Service”). Some countries have a separate ministry or commission for this function. In other countries, the Ministry of Finance or the Ministry of the Interior takes charge of the central HRM function.

2.3. Please select one statement which describes the relationships between central HRM body (A) and line ministries/departments/agencies (B) most appropriately in your government.

- (A) has a wide-range of HRM responsibilities from policy formulation to implementation. (B) should follow the very detailed guidelines and/or directions of (A) in HR management, with very little discretion or autonomy.
- (A) has legal authorities for HRM policy formulation and development of new HRM systems in a wide-range of HRM areas. Under quite general policy directions of (A), (B) can enjoy a high degree of flexibility in implementing HRM policies and systems.
- (A) has legal responsibilities in certain HRM areas such as those affecting costs, conduct and discipline, health and safety, and equal employment opportunities. Other than those areas, (B) has the overall responsibility of policy formulation and implementation.
- (A) has a very limited authority – for example, screening candidates for senior posts, or recommending some policies to Parliament. (B) has the full-range of responsibility and autonomy in deciding HR policies for its own staff.

2.4. Please indicate whether your central HRM body (bodies) is given the legal responsibility in the following HRM areas, and how important a role your central HRM body (bodies) plays in practice?

2.4.a HRM Policy Formulation Process

	Responsible, and initiative role	Responsible, but not an active role	Not responsible, but important role	Not responsible, and no particular role
Reforming existing HRM policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Introducing new HRM policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processing HRM-related laws	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Playing a role as the State Employer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.4.b. Personnel Management

	Responsible, and initiative role	Responsible, but not an active role	Not responsible, but important role	Not responsible, and no particular role
Setting up "Manpower Planning" ² for the entire government	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Determining (ceilings of) number of employees for other ministries/departments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Publicising employment opportunities for the entire government	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recruiting/selecting candidates for other ministries/departments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Moving employees from one ministry to another	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exchanging employees between government and private companies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.4.c. Managing Senior Public Service (SPS)³ – If you don't have an SPS system (see Question 3.1) in your government, please skip this question.

	Responsible, and initiative role	Responsible, but not an active role	Not responsible, but important role	Not responsible, and no particular role
Developing/managing the SPS system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Setting up basic terms and conditions of SPS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recruiting/selecting candidates for SPS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

-
2. **Manpower Planning** refers to an activity of predicting the number of public servants needed sector by sector or as a whole in the longer term, and of planning on how to recruit them more strategically.
 3. **Senior Public Service (SPS)** refers to a unique HRM system in which senior civil servants are grouped and managed in a different manner from other civil servants.

2.4.d. Wages and Pension of Public Servants

	Responsible, and initiative role	Responsible, but not an active role	Not responsible, but important role	Not responsible, and no particular role
Determining pay level of public servants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Negotiating with unions on wage determination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reforming the pension system for public servants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managing the pension fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.5. If your government has experienced significant changes of the role of central HRM bodies, including creating and/or abolishing them, over the past five years, please describe what changes have been made while indicating the specific years.

SECTION 3. SENIOR PUBLIC SERVICE (SPS)

- 3.1.** In some countries, governments have created a Senior Public Service (SPS: for example Senior Civil Service in the UK and Senior Public Service in the Netherlands) for top-level civil servants. In your country, does your government have such a special policy for senior civil servants, by which they are grouped and managed in a different manner from other civil servants?

- Yes
 No (If no, please go to Section 4)

- 3.1.a.** If you have a concise definition of the SPS set out, for example, in legislation, rules and guidelines, please provide a copy of that definition.

- 3.1.b.** Is there a separate SPS Office in your government?

- Yes (please indicate the name of the office)
 No

- 3.2.** Which rank/grade/scales are defined as representing the SPS and how many civil servants are concerned?

(1) Rank/grades/scales:

(2) Number of civil servants who belong to SPS group:

3.3. Countries establish SPS systems in pursuit of many different objectives depending on the country’s contexts. The following is a selection of those objectives. Could you please select at maximum three items, in the order of importance, on which your government puts the most importance in creating and managing an SPS system?

(Put 1, 2, 3, in the appropriate box in the order of importance)

Identifying and nurturing future government leaders

Developing and maintaining the “*Esprit de Corps*” in the public sector

Enhancing personnel mobility between ministries/departments within the government

Promoting competition among public servants

Inducing a performance-oriented culture to government

Increasing managerial flexibility of top civil servants

Recruiting high-quality managers mainly from outside of the government

Providing more opportunities for politicians to be appointed to government posts

Others (please specify)

3.4. In comparison with the way of managing non-SPS public servants, does your government have a unique management system for SPS? If so, please tick all the items in which SPS is differently managed.

<input type="checkbox"/>	Recruitment and selection	<input type="checkbox"/>	Performance management
<input type="checkbox"/>	Managerial flexibility or freedom	<input type="checkbox"/>	Pay determination
<input type="checkbox"/>	Disciplinary actions and/or dismissal	<input type="checkbox"/>	Job security
<input type="checkbox"/>	Restriction of employment after leaving the public service	<input type="checkbox"/>	Standards of professional ethics required
<input type="checkbox"/>	Others (please specify)		

3.4.a. If you ticked any of boxes above, please elaborate how SPS is differently managed compared with other public servants. If your government has many variations of managing different SPS groups, please focus on the case of the most typical or the best representative group in the SPS.

(1) Recruitment and selection:

(2) Performance management:

(3) Managerial flexibility or freedom:

(4) Pay determination:

(5) Disciplinary actions and/or dismissal:

(6) Job security:

(7) Restriction of employment after leaving the public service:

(8) Standards of professional ethics required:

3.5. Of the SPS positions which were filled in 2001, what percentages of these positions were filled by members of SPS from ...

	... the same ministry	... a different ministry	... outside the government
Less than 10 %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10 ~ 19 %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20 ~ 29 %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30 ~ 39 %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
40 ~ 49 %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
50 % and more	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.5.a What would you estimate to be the average amount of time that a member for SPS occupies a single SPS position?

- | | |
|---|--|
| <input type="checkbox"/> Less than 6 months | <input type="checkbox"/> 6 ~ 12 months |
| <input type="checkbox"/> 1 ~ 2 years | <input type="checkbox"/> 2 ~ 3 years |
| <input type="checkbox"/> 3 ~ 4 years | <input type="checkbox"/> More than 4 years |

3.6. How does your government secure high performance and accountability from the SPS? Please describe in detail.

3.7. During the past five years, has your government ever reviewed or assessed your SPS system? If yes, please provide a short summary of the assessment results. If no, please provide your overall assessment on the operation of your SPS system.

3.8. Has there been, in the past five years, any major policy decisions or initiatives (for example, changes in pay, recruitment/selection, job criteria, mobility, etc.) which have been specifically targeted at the management of the SPS?

- Yes
 No

3.8.a. If yes, please describe briefly, while indicating the year.

SECTION 4. CIVIL SERVICE CLASSIFICATION AND ITS STATUS

4.1. Please provide the most typical titles of your civil servants, and their corresponding job classifications (or grades) according to the functional levels in a ministry/department. If politicians are appointed at some specific functional levels, please indicate them. (The example below example shows functional levels, typical titles and classifications for civil servants in Finland.

Finland		
Functional level	Typical title	Classification
1 st level	Secretary of State Secretary General Under-Secretary of State	Grades A/S 34 and A/S 36 Grade A/S 32
2 nd level	Director General Head of Department/Directorate	Grade A/S 34, A/S 33 and A/S 32 Grade A/S 32 and A/S 31
3 rd level	Director/Head of Office	Grade A/S 29
⋮	⋮	⋮

Your Government		
Functional level	Typical title	Classification
1 st level		
2 nd level		
3 rd level		
4 th level		
5 th level		
⋮	⋮	⋮

4.2. Could you please list the categories that your government is adopting in classifying civil servants sector by sector? For example, some countries use such categories as general administration, police, defence, social security, and health, and so forth.

4.3. In some OECD Member countries, life-long employment has been replaced by contract and/or temporary employment over the last two decades. Has this trend occurred in your government?

- Yes
- No

4.3.a. If yes, please elaborate, while indicating relevant figures (preferably comparing the number of employees for each employment type between 1996 and 2001).

4.3.b. If yes, what was the major motive for this trend?

- Parliament made a decision to change the status of public servants.
- Government made a decision to change the status of public servants.
- Neither Parliament nor government made such a decision explicitly, but each ministry moved towards this direction.
- Other (please specify: _____)

4.4. Is there any announced (or planned) programme for a reduction or increase of the number of civil servants in your government?

- Yes
- No

4.4.a. If yes, please provide further information on this programme, including the specific target groups or sectors if applicable.

4.4.b. If yes, who is responsible for this programme?

- Parliament
- The government (Central HRM Body, Ministry of Finance, Other)
- Other (please specify: _____)

4.4.c. Between 1996 and 2001, was there any significant change in the number of civil servants of your government?

- Reduced significantly (more than 2% of the total civil servants)
- Reduced slightly (between 0.5% and 2%)
- Remained more or less the same (changes less than 0.5%)
- Increased slightly (between 0.5% and 2%)
- Increased significantly (more than 2% of the total civil servants)

4.5. Has there been, in the past five years, any major policy decisions or initiatives which have been specifically targeted at the status of civil servants including their classification?

- Yes
- No

4.6.a. If yes, please describe briefly, while indicating the year.

4.6. In managing their public servants, is there any difference between central (or federal) government and other government(s)?

- They have different systems for managing their civil servants, with a different legal basis.
- Main HRM frameworks are similar to each other, but practical applications are very different from each other.
- Although they have different regulations, main HRM frameworks are very similar to each other.
- Civil servants at all levels of government are under the same HRM regulations. Therefore other than some limited HRM flexibility for local governments, there is little difference in managing civil servants across the levels of government.
- Other (please state)

SECTION 5. RECRUITMENT⁴ AND SELECTION

5.1. Which of the following statements most appropriately describes recruitment policies for public servants in your government?

Government selects a pool of civil servants, and then places them in specific posts.

If this is the case, does your government select a pool of candidates for each level (or rank) or for certain levels (or ranks)?

For each level (or rank)

For certain levels (or ranks). Please specify the levels (or ranks)

Government recruits a candidate for a specific vacancy post by post.

If this is the case, does this policy apply to all levels (or ranks) of civil servants or certain levels (or ranks) of civil servants?

To all levels (or ranks)

To certain levels (or ranks). Please specify the levels (or ranks)

5.2. In your government, who is responsible for making recruitment policies for civil servants, and who is responsible for recruiting potential candidates?

	Recruitment policies	Recruiting candidates
Head of Central HRM Body	<input type="checkbox"/>	<input type="checkbox"/>
Independent body like Civil Service Commission	<input type="checkbox"/>	<input type="checkbox"/>
Minister of each ministry/department(M/D)	<input type="checkbox"/>	<input type="checkbox"/>
Non-political managers within M/D	<input type="checkbox"/>	<input type="checkbox"/>
Others (please specify)	<input type="checkbox"/> ()	<input type="checkbox"/> ()

4. **Recruitment** refers to the process of recruiting into public service from outside, not filling vacancies by transfer or promotion.

- 5.3.** In their civil service regulations, some countries explicitly refer to fundamental principles for recruitment, which govern the whole process of recruiting civil servants – for instance, merit-based selection, political independence, and/or open competition recruitment, etc. If your government has such recruitment principles referred to in the regulations, please list them below, indicating the legal source.

Recruitment principles	Legal source
1.	
2.	
3.	
4.	
5.	

- 5.4.** Recruitment procedures presumably differ depending on the hierarchical rank and requirements of the target posts for recruitment. They also diverge from ministry to ministry. Despite the diversity of recruitment procedures, please describe the most typical recruitment procedure in your government including the following steps. If available, please indicate what per cent of civil servants are recruited under this procedure.

1) publicising vacancies (or announcing recruitment plan)

2) screening applicants

3) selecting potential candidates

4) probationary period

5) appointing to a specific post

5.5. In the recruitment procedure described above, what means are used to assess the candidates' qualifications? Please tick all the appropriate items.

- Review of previous career
- Paper-and-pencil test
- Interview
- School records like college GPA
- Use of Assessment Centre
- Psychometric assessment
- Others (Please specify)

5.6. In many OECD countries, some (or all) high-level and mid-level posts are filled by open competition rather than promotion or transfer within the ministry/department. These posts (hereafter "Open Posts") are open to anybody including academics, researchers, private sector managers as well as civil servants. Please tick to what extent the open posts apply to the specific functional levels (please refer to Question 4.1), and indicate how many posts are concerned in each level.

Functional level	To what extent "Open Posts" apply			Number of "Open Posts" out of (total posts)
	All	Partly	Nil	
1 st	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	()
2 nd	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	()
3 rd	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	()
4 th	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	()
5 th	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	()

5.6.a. In some countries, some high-level posts are filled by political appointees rather than by career civil servants. Please tick to what extent political appointment applies to specific functional levels, and indicate how many posts are concerned in each level.

Functional Level	To what extent political appointment applies			Number of political appointment posts
	All	Partly	Nil	
1 st	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2 nd	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3 rd	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

5.7. In your civil service laws or regulations, is there any prescribed area for the “Open Posts” described in Question 5.6?

- Yes
 No

5.7.a. If yes, please provide further information (for instance, ICT-related posts, or posts requiring expertise on law, etc.)

5.8. In respect of “Open Posts” what are the differences, if any, in recruitment procedures compared with the normal procedure described in Question 5.4?

5.9. Does your government have any additional incentives for “Open Posts” compared with ordinary posts, in order to attract high-quality external experts?

- Yes
 No

5.9.a. If yes, please provide further information.

5.10. In the year 2001, out of the total number of vacancies for “Open Posts”, how many people were actually recruited from outside the government, and outside the concerned ministry/department? Please fill in the following table.

Total vacancies for the “Open Posts” in 2001	
Number of people recruited from outside the government	
Number of people recruited from within the government	
- From a different ministry	
- From the same ministry	

SECTION 6. TRAINING AND DEVELOPMENT

- 6.1.** In your government, who is responsible for making policies for training and development of civil servants, and who is responsible for training and development in practice?

	Training policies	Training in practice
Head of Central HRM Body	<input type="checkbox"/>	<input type="checkbox"/>
Minister of each ministry/department(M/D)	<input type="checkbox"/>	<input type="checkbox"/>
Permanent Secretary/Chief Executive	<input type="checkbox"/>	<input type="checkbox"/>
Lower level of managers within M/D	<input type="checkbox"/>	<input type="checkbox"/>
Others (please specify)	<input type="checkbox"/> ()	<input type="checkbox"/> ()

- 6.2.** To what extent does your departments rely on the following training institutes?

	Very much	Quite a lot	Little	Rarely
Training institutions for civil servants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Universities and research institutions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private sector training institutions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training in overseas countries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Computer-based self-training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 6.3.** In your central (or federal) government, how many training institutes are established with the main purpose of training civil servants? Please insert the number of training institutes in the space provided.

Training institutes for civil servants in all ministries/departments	
Training institutes for a specific ministry's civil servants	
Others (please specify)	

6.4. On average, how many days does a civil servant spend per year for his/her training and development?

- Less than 5 days
- 5 – 10 days
- 11 – 15 days
- 16 – 20 days
- More than 20 days

6.5. Does your government have special programmes for developing future public sector leaders?

- Yes
- No

6.5.a. If yes, please describe in detail.

6.6. In recent years, attention has been given to the importance of “life-long learning” to cope with the rapid change of the administrative needs and environment. Does your government have (or plan to have) special programmes to promote the life-long learning of civil servants? If yes, please provide further information.

6.7. With the rapid development of information and communications technology (ICT), have there been any new training policies which aim to improve/adapt the ICT skills of civil servants?

- Yes
 No

6.7.a. If yes, please provide further information.

6.8. Please describe where training is linked with career development of civil servants in terms of promotion and pay increase. An example would be attending specific training programmes/attending certain qualifications as a pre-requisite for promotion or pay increase.

6.8.a. Linkage with promotion

6.8.b. Linkage with pay increase

6.8.c. Linkage with other career development

SECTION 7. PERFORMANCE MANAGEMENT (PM)

7.1. Most countries have a tool for assessing employees' achievements and performance. In some countries it is called "performance management", while in others it is called "performance appraisal" and so on. This tool is mainly targeted to improve individual performance of civil servants, rather than organisational level performance. Does your government have such a system in operation? If yes, please indicate the official term used in your country.

- Yes (Official term: _____)
- No (Please go to Section 8)

7.2. Does your government have a separate PM system for managers, which is different from the one for other employees?

- Yes
- No

7.2.a. If yes, please provide further information on different aspects applied only to managers.

7.3. Could you please describe the PM procedures in detail, if possible, step by step, including objective setting, performance reviews, evaluation/assessment, and feedback to the next round, etc.?

7.3.a. Objective setting

7.3.b. Performance reviews

7.3.c. Evaluation/Assessment

7.3.d. Feedback

7.4. Please list the criteria used in assessing employees' performance, if appropriate, in the order of relative importance between various criteria.

Order of importance	Evaluation criteria
1.	
2.	
3.	
4.	
5.	
⋮	

7.5. In recent years, many countries have tried to introduce so called 360 degree feedback in assessing individual performance, where performance appraisal is made not only by superiors, but also by lateral colleagues, and/or subordinates. Has your government adopted such a system in your PM procedures?

- No. Performance assessment is made only by superiors.
- Partly yes. Some agencies/departments/ministries have adopted the 360° feedback system.
- Yes. All the agencies/departments/ministries adopted the 360 degree feedback system.

7.5.a. If you ticked “Partly Yes” or “Yes” in the above question, could you please explain your impression on its operation – *i.e.* does it function as well as intended? If yes, what are the positive impacts on traditional PM practices? If not, what are the perceived problems and challenges?

- Yes
- No

7.6. Does your government have any incentives available for high-performers on the basis of performance assessments? If yes, please provide further information.

- 7.6.a.** Please describe how your government manages poor performers on the basis of performance assessment, including disciplinary actions, disadvantages for career development, and dismissal, if applicable.

- 7.7.** In your PM system, to what extent are PM results linked with other HRM components? In other words, how do you use PM results for decisions on employees' promotion, transfer, training, career development, and pay? Please tick the boxes below which you deem appropriate.

	Very much linked	Somewhat linked	Slightly linked	Not linked
Promotion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transfer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Career development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pay determination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 7.8.** Many governments have made efforts to integrate individual performance with organisational level performance, for instance, by setting individual objectives in conjunction with organisational objects and/or goals. Does your government strive to link performances at individual and organisational levels?

- Yes
 No

- 7.8.a.** If yes, please provide detailed information.

SECTION 8. PAY DETERMINATION and PERFORMANCE-RELATED PAY (PRP)

8.1. What are the budgetary constraints from central (or federal) government in determining the pay level?

- The central (or federal) government sets the volume of the pay bill.
- In general, the central (or federal) government sets the volume of the pay bill. But a limited number of agencies are free to manage their budget.
- Personnel costs are included in the decentralised running cost budget for agencies and departments.
- Other (Please specify)

8.2. Please list all the factors that your government considers in setting/adjusting the volume of the pay bill, or share of personnel costs in running costs. (*e.g.* economic situation, private sector wages, inflation, etc.)

8.2.a. When your government compares the pay levels of civil servants with private sector counterparts, what index or standard does your government use? Please describe in detail.

8.3. Please describe all the factors that your government considers in determining individual remuneration of civil servants. (*e.g.* seniority, productivity, performance, consumers' price index, market comparisons, etc.)

- 8.4.** In determining civil service pay, there appears to be considerable diversity in institutional frameworks for pay-setting across OECD Member countries. In some countries, there is no procedure for pay bargaining, while in other countries there are many levels of collective bargaining. The following table categorises types of institutional frameworks, drawn from previous OECD surveys. Could you please tick one box that explains your system most appropriately?

Collective bargaining types	
1. No Pay Bargaining	
1-1. Pay decided on the basis of recommendations by an independent review body.	<input type="checkbox"/>
1-2. Pay decided on the basis of recommendations by the President (Prime Minister) or Head of the Civil Service.	<input type="checkbox"/>
2. Single Collective Bargaining	
2-1. Bargaining at the central (or federal) level	
2-1-1. Bargaining for the entire public service	<input type="checkbox"/>
2-1-2. Bargaining by functional sub-sectors	<input type="checkbox"/>
2-2. Bargaining at the workplace level	<input type="checkbox"/>
3. Two Tiers of Collective Bargaining	
3-1. Central level + negotiations by professional groups	<input type="checkbox"/>
3-2. Central level + negotiations at the work places	<input type="checkbox"/>

- 8.4.a.** If you have additional comments, or exceptions, etc. regarding the institutional framework of collective bargaining, please elaborate them.

- 8.5.** Regarding the structure of civil service remuneration, could you please list the various types of allowances that are common to all occupational groups, other than base salary?

8.6. In recent years, many governments tried to link pay with individual and/or unit performance. Does your government have a performance-related pay (PRP)⁵ scheme?

- Yes
- No (please go to Section 9)

8.6.a. If yes, please provide a brief outline of your PRP scheme including the information on: 1) when it was introduced and why?; 2) to whom the PRP scheme applies in terms of hierarchical level and how many civil servants are concerned?; 3) how is the performance of individual/unit measured?; 4) how is extra funding for PRP payments secured? and so on.

8.7. If your government has carried out surveys and/or analysis on the positive and negative aspects revealed in the implementation of PRP, please provide a brief summary of the results of these surveys/analysis. If not, please provide your overall judgement/assessment on the PRM implementation.

Positive aspects	Negative aspects
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
....	...
<i>Source:</i>	

5. Performance-related Pay (PRP) refers to pay increases which are directly related to individual (or sometimes team) performance assessed by rating. Therefore PRP excludes the pay increases resulting from formal career path (*i.e.* pay step increase, and pay increase by grade promotion). It also excludes various types of allowances which are attached to certain posts or certain working conditions (*i.e.* overtime allowances).

8.8. Has there been, during the past five years, any major policy decisions or initiatives regarding the civil service pay system and PRP schemes?

- Yes
- No

8.8.a. If yes, please describe them briefly, indicating respective years.

SECTION 9. INDUSTRIAL RELATIONS and WORKING CONDITIONS

9.1. Industrial relations in the public sector take a variety of forms in OECD Member countries. In some countries, civil servants have nearly the same rights and obligations in the industrial relations setting as private sector employees. In other countries, civil servants are allowed very limited areas for industrial relations. Among the following statements, please tick only one box which best describes the case of your government.

- Civil servants are treated equally as private sector employees in industrial relations. As a result, there are no special laws or regulations on industrial relations of civil servants.
- In general, civil servants are treated equally as private sector employees in industrial relations. But there are some exceptions for civil servants working for specific areas like national security, where they have very limited industrial rights.
- Generally, civil servants have very limited rights in industrial relations. But there are some exceptional areas like railway and postal service, where wide ranges of industrial activities are allowed to the concerned civil servants.
- Differently from private sector employees, civil servants have very limited rights in industrial relations. It is stipulated in detail in the Civil Service Act or special Act for industrial relations of civil servants
- Others (please state)

9.2. According to your laws or regulations on industrial relations in the public sector, to what extent are civil servants of your government allowed to participate in the each of items below? Please tick a box which you think best suits your civil servants.

	All civil servants are allowed ...	Most civil servants, with some exceptions, are allowed ...	Civil servants working in some limited areas are allowed ...	No civil servants are allowed ...
To organise and join the labour union	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
To negotiate with the employer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
To strike at the workplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9.3. If civil servants in your government are allowed to organise and join the labour union whether entirely or partly, how many civil servants are members of the union? and what is their rate of unionisation?

As of _____, _____ people join the union, which accounts for _____ %

- 9.3.a.** If available, could you please provide the rate of unionisation per occupational group or sectoral group?

Occupational/ sectoral group	Rate of unionisation
(Example) police	%

- 9.4.** It seems very general in the public sector that there are many restrictions in exercising the right to strike at workplaces even in a country where civil servants are generally allowed to strike. Please describe any limitations on the right to strike.

9.5. The following is a selected list of HRM areas which labour unions can actively or sometimes passively exert its influence in the process of decision making on HRM. In your opinion, how strongly does your labour union exert an influence for each of HRM areas?

HRM areas	Very strong	Relatively strong	Relatively weak	Very weak
Introducing new civil service system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Determining the number of civil servants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recruiting/selecting civil servants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training and development of employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transfer and promotion of employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Setting pay level of employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluating/rewarding employees' performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Changing working conditions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Setting ethical standards for employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9.6. How many hours are your civil servants legally required to work per week?

- It is common to all civil servants: hours per week
- It differs from ministry to ministry, but normally hours per week

9.7. How many days of annual leave are your civil servants legally entitled to enjoy?

- It is common to all civil servants: days per year
- It differs from ministry to ministry, but normally days per year

- 9.8.** The following is a selected list of flexible working arrangements. Please tick a box which best describes the case of your country.

	Widely adopted	Adopted in limited areas	Not adopted
Part-time employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Job sharing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Flexible working time (flex-time)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Home working	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tele-working	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others (please specify:)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 9.9.** Has there been, during the past five years, any major policy decisions or initiatives related with industrial relations in the public sector and working conditions of civil servants?

Yes

No

- 9.9.a.** If yes, please describe them briefly, indicating respective years.

SECTION 10. EQUAL EMPLOYMENT OPPORTUNITIES (EEO)

10.1. During the past decade, in OECD Member countries a growing tendency for governments to pursue various EEO policies in order to maintain good employer models has appeared. In your government, what are the major targets for EEO policies in the public sector? Please indicate your government's priority for each of the following groups in dealing with EEO policies.

	High priority	Medium	Low priority
EEO for women	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EEO for the disabled	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EEO for diverse race	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others (please specify:)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10.2. In your government, which ministry or department plays an initiating role in formulating and implementing EEO policies in the public sector?

- Central HRM body
- A separate ministry/department for EEO
(name of the ministry)
- Others
(please specify the name of the agency)

10.3. In order to promote equal employment opportunities in the public sector, some countries allocate quotas for employment of specific target groups. In other countries, governments have introduced many new working arrangements which aim to enable the disadvantaged group to work for the government more easily. Please describe in detail the policies or measures for the promotion of equal employment opportunities in your government.

SECTION 11. HRM DEVELOPMENTS DURING THE PAST FIVE YEARS (1996-2001)

This section aims to trace the major developments of HR management in OECD Member countries. To compare with the results of the previous survey published as a book entitled "Integrating People Management into Public Service" in 1996, this section will use the same questions used in the previous survey. Please tick the box which best suits for your government's case.

11.1. Have any of the following been introduced or significantly revised in the last five years in your government?

	Yes	Partly	No Reforms were already made prior to this time	No Reforms have not yet been made in this field
Comprehensive HRM strategy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Simplified ("flatter") organisational structure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staffing reductions or limits to the size of the public sector workforce	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decentralisation or devolution of HRM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reform or restructuring of pay systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reform of employment staffing practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Running cost budgets for line agencies & departments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Classification & job design systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Equal Employment Policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Performance management systems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Assessment of managers' performance on HRM responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Performance appraisal based on target-setting & objectives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Formal job evaluation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Management development or leadership development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
More flexible working arrangements (<i>e.g.</i> part-time, flex-time, job sharing)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improvements to the workplace	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employee Surveys	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11.1.a. If you ticked on “Yes” or “Partly” in any of above items, please elaborate specific measures taken in your government.

- 11.2.** In general, in the central (federal) government, have managers in line ministries/departments and agencies been given increased flexibility over the last five years in relation to any of the following HRM functions?

	Yes	Limited	No Because we do not think that this is relevant	No Because we are not yet planning to increase flexibility
Organisational design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Classification and job design	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Control of staff numbers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staffing practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
EEO policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pay	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Performance management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training and development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Union involvement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 11.1.a.** If you ticked on “Yes” or “Limited” in any of above items, please elaborate specific measures taken in your government.

SECTION 12. CHALLENGES AND PROBLEMS OF THE FUTURE

Please describe here current problems to be solved and future challenges to be coped with in the areas of civil service system and human resources management in your government. This information would be of great help in identifying future HRM activities which OECD should deal with in the coming years.

BACKGROUND INFORMATION ON RESPONDENT

Please provide contact details for the persons completing this survey

<p>Name:</p> <p>Job Title:</p> <p>Address:</p> <p>Telephone</p> <p>Facsimile</p> <p>E-mail</p> <p>Sections Completed:</p>	<p>Name:</p> <p>Job Title:</p> <p>Address:</p> <p>Telephone</p> <p>Facsimile</p> <p>E-mail</p> <p>Sections Completed:</p>
<p>Name:</p> <p>Job Title:</p> <p>Address:</p> <p>Telephone</p> <p>Facsimile</p> <p>E-mail</p> <p>Sections Completed:</p>	<p>Name:</p> <p>Job Title:</p> <p>Address:</p> <p>Telephone</p> <p>Facsimile</p> <p>E-mail</p> <p>Sections Completed:</p>

Your Response is greatly appreciated.

Thank you for participating