THE GLOBAL SURVEY OF PUBLIC SERVANTS

Background Questionnaire

Global Survey of Public Servants

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Global Survey of Public Servants

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I. Introduction

The Global Survey of Public Servants (GSPS)

The Global Survey of Public Servants (GSPS) is an initiative to generate survey data from public servants in government institutions around the world. The aim of the initiative is to increase the volume, quality and coherence of survey data on public administration over time.

The background questionnaire

This background questionnaire complements the Global Survey of Public Servants when applied to individual countries. The main objective is to generate a comprehensive qualitative overview of public employment systems, in particular, civil service systems. The background questionnaire can help identify country-specific information for the design of the survey instrument and the adaptation to individual countries. Moreover, the background information will enable the research team to put the results of the civil service survey in a wider context.

Throughout, the questionnaire broadly speaks about 'public employment systems' and 'categories of administrative employees' in order to take into account that in some countries civil servants are not the only category of administrative employees. Rather, in countries with a narrow scope of the civil service systems, other categories such as public servants and administrative employees regulated by the labour code and other legislation will be employed alongside civil servants.

In terms of scope, this questionnaire focuses on the employees of the central state administration such as ministries and agencies. If the survey includes the territorial offices of central level institutions as well as the regional and local government administration, this will need to be made explicit.

Questions address the *de jure* basis and *de facto* practices of public employment systems – as the two may diverge. Recall that a key objective of the survey of public servants is to assess the practice of human resources management in public administration. To this end, the background questionnaire includes general questions related to management practices in order to get a basic picture of how personnel policy works on a day-to-day basis and what the main problems exist in each of the countries.

The questionnaire is divided in seven parts. The first and second part will begin with the history of the civil service and current efforts to reform the civil service. The third part focuses on the legal status, scope, structure and size of relevant public employment categories. The fourth part focuses on the structure and organisation of the central state administration. The fifth part addresses the structure and functions of central personnel management authorities. The sixth part represents the core of the questionnaire. It addresses the areas of recruitment and selection, promotion, tenure and dismissal, performance appraisal, salaries, training and integrity management.

The questions in the background questionnaire are phrased as prompts to a consultant or government counterpart with expertise to answer to them.

1. History of the civil service

For a start, we would be grateful if you could provide a short summary of the history of civil service and public employment management practices in your country. You might briefly go back to the origins of public administration and then, in more detail, outline reform initiatives over the last couple of decades to provide a context for the survey and later the survey reports. Focus in your historic review on changes in actual practices in the management of employees in administrative positions in central government over time.

2. Civil service reform

We would be grateful if you could provide a summary of ongoing civil service reform in your country. The summary should
- Refer to the status of the latest reform programmes (if any are in place),
- How they relate to a wider public administration reform programme (if any),
- What the main objectives are (including which civil service management practices programs seeks to change),
- Which institutions and/or groups of public employees are included in the reform,
- If civil service reform covers only select institutions or categories of employees to-date, what criteria determined that these, yet not other institutions/groups of employees were reformed? Is the roll-out to these select institutions gradual, with reform extended to a subset of institutions/groups at a time?
- Which institutions and possibly key individuals prepared it domestically,
- Whether international aid and assistance organisations were involved in the preparation and implementation of the programme.
- The effects/success of the reform program to-date in relation to changes in civil service management practices (rather than merely laws)
- Whether a new programme is planned or already under preparation.

As with all questions in this questionnaire, your summary need not respond to these bullets one-by-one, but can rather be written *en bloc* to respond to all.

3. Legal status, scope, structure and size of public employment

In this section, we seek to understand which categories of staff are employed in administrative positions in central government institutions, including both agencies and ministries (albeit not state-owned enterprises and local or regional governments). In some countries, all employees are covered by one civil service law but internally the law distinguishes groups of civil servants. In others, a number of laws distinguish categories of employees such as civil servants, public servants, employees regulated by the labour code and even more specific laws for temporary staff, voluntary workers etc. Note that our study excludes management practices of employees in non-administrative and non-civilian positions, including policemen, teachers, medical personnel, the army, etc.. Under 'employees in administrative positions',

we, however, do include professionals – such as IT specialists, lawyers, etc. – who work in central government ministries. When answering the questions below you are welcome to answer them *en bloc* for each category of employees rather than question by questions. Please do as you prefer. While the length of this section depends on the multiplicity of legal arrangements, we would expect it to be between two and three pages.

1. Which are the relevant (legal) categories of employees in central government ministries?

2. Which laws and/or executive decrees regulate each category of employees in administrative positions? If one or several laws/decrees exist additionally note,
   - In which year where the laws adopted?
   - In what way do legal regulations between the different categories differ? (e.g. do they prescribe different recruitment and/or promotion practices? Different job stability/tenure protections?)
   - Are the laws fully implemented and, if not, which (notable) parts of the laws are not implemented.

3. What is the scope of each of the civil service categories? Note, you might have addressed this (implicitly) when distinguishing categories of employees above.

4. What is the internal structure of each category of employees, for instance, different career groups, grades, senior vs ordinary civil servants, etc?

5. How many public employees in administrative positions fall under each of the categories?

6. Provide, if possible, some basic demographic data about the different categories of public employees in administrative positions, and public (administrative) employment at-large:
   - Gender distribution
   - Age distribution
   - Other available demographic data

4. Organisation and size of the central state administration

In this section, we seek to gain an overview of the institutions that make up the central state administration. We are aware that it could consume a lot of time to identify the many agencies and offices that exist in your country. If so, it will be sufficient to list main most important ones – in terms of public employment and public policy importance (such as Ministries of Finance or tax agencies) – to get a reasonable overview for the sake of conducting the survey. Again, depending on the length of lists below, we would expect this section to be roughly 2 pages in length.

1. Please provide a complete list of central government ministries and agencies.

2. What is the size of the institutions listed above in terms of the number personnel?

3. If available, what is the size of the institutions listed above in terms of the number of personnel in distinct legal categories (as defined legally in section 2)?

- If hard data is unavailable, does qualitative evidence suggest that different categories of employees correspond disproportionately to different central government institutions? (e.g. some institutions are principally staffed by permanent civil servants while others principally recruit employees on temporary contracts)

4. What is the internal hierarchical structure of administrative institutions? The assumption here is that in most countries laws on the administration define the internal structure of institutions such as directorates, departments, divisions etc. In practice, such legislation may not be respected and hierarchical structures and denominations differ across institutions (formally or informally). Be sure to outline this if this is the case.

5. What is the hierarchical structure of positions within administrative institutions? Again, acts on the administration, government, civil service or others – or established practice – typically define the hierarchy of positions within institutions, such as Minister, Head of Cabinet, Permanent Secretary, Head of Department, etc. For ministries and agencies there may be small differences in the name and hierarchy of positions. After listing these ranks, please classify them to the best of your ability into political positions, managerial positions, professional/technical positions, administrative support and general service positions (e.g. cleaning personnel). Please also indicate if the aforementioned hierarchical structure of positions reflects rising responsibilities/authority (or whether informal influences frequently supersede formal authority, and the hierarchical position classification is thus in practice not meaningful).

In order to illustrate and facilitate an understanding of the internal structure of administrative institutions, please provide organisational charts of at least one ministry and one central government agency.

5. Personnel management authority

This section addresses the authority to manage personnel policy, in particular, the relative roles of central steering institutions (such as Prime Minister's Offices or Presidential Offices), line institutions (such as Ministries of Finance, Education, Health or Public Works) and public sector unions. The identity and number of central institutions tends to vary across countries including civil service agencies, general audit institutions or finance ministries that share responsibilities over salary management, anti-corruption agencies that deal with conflict of interest regulation etc. In regards to personnel functions, consider authority over recruitment and selection, promotions, performance evaluations, salary setting, job protection and dismissal, transfers, sanctions, training and integrity/ethics management. We would expect this section to be roughly 2 pages in length.

1. Which central government institutions, if any, are responsible for which function(s) of public personnel management for which categories of employees?

2. In practice, how does the central management of personnel work in practice? How effective are the different central government institutions in executing their assigned personnel management functions? If not the central management agencies, who generally makes these decisions?

3. Which functions remain decentralised at the level of individual institutions in law and practice?

4. What has been the recent trend towards centralisation or decentralisation in law and practice?

5. How does the coordination between central government institutions and line institutions in public personnel management work in practice? How effective is it?

6. Do unions for public employees or individual categories of employees (e.g. civil service unions) exist and do they play any relevant role in the management of personnel?

5.1. Recruitment and selection

This section focuses on the recruitment and selection procedure, which will play a central role in the survey of administrative employees. The challenge for this section is to identify the many different procedures that exist across and within each category of employees. Senior civil servants, for instance, are often subject to a different procedure than professional civil servants or trainees at the entry level. Fewer differences might exist for administrators on labour contracts. However, understanding the variation between procedures will be important for the country-specific design of the survey. Please add data to your responses (e.g. number/percent of vacancies filled through different examination modalities) wherever possible. We would expect this section to be at least 3 pages in length.

1. Which procedure(s) has to be followed to create an individual position for each category of staff. Create a position may be the discretion of the superior without any regulation. But it may also be subject to prior staff planning and/or the need for approval from institutions such as finance ministries and civil service agencies.

2. Do job vacancies have to be advertised? If yes,
   - For which category of staff are advertisements legally required?
   - For which category of staff are advertisements sent out in practice?
   - Does a particular sequence of advertisements have to be followed, for instance, first an advert within the institution (internal recruitment), then across the civil service, then publicly?
   - Who is in charge of writing the advertisement and terms of reference for a position?
   - Where/in which media are positions advertised?

3. Do selection commissions have to be formed? If yes,
   - For which categories of staff are commission required?
   - For which categories of staff are commissions actually formed?
   - How many members do commissions have and who sits on them (in law and in practice)?
   - Are they formed on a permanent or ad hoc (post-by-post) basis?
   - Who appoints the members of commissions in law and practice?

4. Do candidates have to sit written examinations? If yes,
   - Which categories of staff have to do so in law? Which do so in practice?
   - How is the written exam structured (e.g. general, position-based, psychological testing, etc)

- Which format (essay type, multiple choice) does the exam take?
- How develops and assesses exams?

5. Do candidates have to sit oral examinations (personal interviews)? If so, who forms the interview panel?

6. Are candidates ranked at the end of the examination process? If so, by whom?

7. Who is in charge of the final selection of candidates and, if rankings are used, is the top ranked candidate is automatically offered a job?

8. In practice, what criteria are most important for the final selection of candidates? To what extent do professional qualifications, examination results, political, family, clan, ethnic or othermerit or non-merit criteria determine final selection?

9. Do unsuccessful candidates have a right to appeal?

10. Do new appointees have to undergo a period of probation or preparatory service?

11. Do new appointees have to undergo any compulsory induction training and/or an (additional) examination within a specified period of time?

12. How competitive is recruitment into the public sector? If available, please provide data on the average number of applicants per advertised vacancy in the different categories. If data is unavailable, please provide anecdotal evidence.

13. What are the main weaknesses of the recruitment processes in the different categories of employees according to stakeholders? Is there a major mismatch between formal rules and actual practice?

5.2. Promotions and careers

This section addresses the procedures and criteria for promotion to a higher grade and/or position, as well as the presence of career, position or mixed systems. Promotions and career systems shape behavioural incentives and identities of public servants and are thus central to the survey design. Note that, as with the other sections, there may be differences between categories of employees as well as within each category. We would expect this section to be at least 2 pages in length.

1. Are public servants (in different legal categories) employed in specific positions (without clear, pre-specified career paths), into careers or into a mixed system?

2. If career paths are in place, please describe career ladders and their coincidence with the hierarchical structure of positions (see section 4) in law and practice.

3. Are positions in higher grades solely filled through internal promotions? If not, is there preferential access for internal candidates? Or do inside and outside candidates have equal opportunities when higher-level positions are advertised?

4. What criteria are evaluated in promotion decisions in law and in practice? This may include seniority, formal and informal work performance assessments by supervisors and peers, party-political recommendations and others.

5. Through which procedures are promotion decisions made in law and practice? This may include interviews, written examinations, performance evaluations and other procedural requirements.

6. Who determines which staff gets promoted?

7. How competitive are promotion decisions? If available (and applicable), please provide data on the average number of internal applicants per advertised vacancy for promotion. If data is unavailable, please provide anecdotal evidence.

8. Are there 'glass ceilings' for promotions? (i.e. grades beyond which civil servants in law and practice rarely or never get promoted)

5.3. Job protection, dismissals, transfers and sanctions

This section focuses on tenure, dismissal, sanction and transfer rules for administrative employees. There may be differences between categories of employees as well as within each category. For instance, in most countries civil servants are appointed for an indefinite term. Senior civil servants may be appointed for an indefinite or a fixed term. And advisors' terms are usually tight to that of their political masters. Similarly, dismissal rules may differ considerably. We would expect this section to be at least 2 pages in length.

1. In law and practice, what are the employment terms for each group of category of employees in terms of length and renewal?

2. In law and practice, under what conditions can employees of each category be dismissed?

3. In law and practice, who has the authority to take dismissal decisions?

4. Do administrative employees have a right of appeal against dismissal decisions? If so, please provide data on the number of appeals (if available) and the share of appeals which was granted? If data is unavailable, please provide anecdotal evidence on the frequency and successof appeals against dismissals.

5. Do public sector unions (or others such as party leaders or chiefs) mobilize against dismissals of administrative employees? If so, how frequent are such mobilizations and how successful are they at preventing dismissals or reinstating dismissed personnel?

6. In practice, how frequent are dismissals of administrative employees in different legal categories?

7. On what basis are employees typically dismissed in practice? This may include poor performance, malfeasance, party-political rationales and others.

8. In law and practice, can employees be *involuntarily* transferred between positions or institutions? If yes, are such transfers frequent? And what criteria determine transfer decisions?

9. What other sanctions short of dismissals and involuntary transfers exist in law and practice? May personnel be demoted, see salary cuts or be "frozen" (left without functions), for instance? If such sanctions exist, is their use frequent? And who has authority to administer sanctions or disciplinary procedures?

5.4. Performance evaluation

This section addresses the system for the evaluation/appraisal of performance. As with the previous sections, there may be differences between categories of employees as well as within each category. Please detail these. We would expect this section to be at least 2 pages in length.

1. Do relevant laws and regulations establish a system of regular performance evaluation for staff? If so,
   - How often is performance evaluated in practice? Add data if possible, else anecdotal evidence.
   - Who is responsible for the evaluation of performance?
   - Are performance objectives agreed 'before' the assessment period?
   - What criteria do performance evaluations typically assess?
   - On what scale (if any) are employees ranked? (e.g. excellent, good, satisfactory, unsatisfactory; percent completion of objectives)

2. What is the impact of performance evaluations? Do they influence training, promotions, pay and dismissal decisions?

3. Is the system effective? Or largely symbolic, a box-ticking exercise?

4. Is the system impartial? Or are performance evaluations vulnerable to political-party or personal-nepotist, or other considerations that are not related to employee performance?

5.5. Salaries

This section addresses the salary system for each category of employees. Given the central role of salaries in corruption debates, it will be important to understand the determinants of salaries and salary increases, salary levels and the role and size of salary bonuses. As with the previous sections, there may be differences between categories of employees as well as within each category. Please detail these. We would expect this section to be at least 3 pages in length.

1. Do separate salary acts exist for any of the categories of employees? If not, which laws regulate the salary system?

2. Who sets base salaries and salary complements for the different categories of employees in law and practice?

3. How are base salaries determined in law and practice? Are there salary scales attached to 'typical' positions or levels of hierarchy?
   - If yes, how much can salaries vary for similar positions within and across institutions?
   - If no, do institutional authorities face any other constraints in setting salaries? Or can they determine the salaries of each employee freely?

4. What criteria determine that individual employees progress from one salary point to the next? Seniority? Performance? Or personal-political discretion? Or a mix?

5. Who determines salary increases in law and practice?

6. Are there 'automatisms' for salary increases? These can include inflation-indexed pay rises, seniority and others. How

7. Are salary bonuses (e.g. performance-related pay) paid? If so,
   - On which basis are salary bonuses allocated in law and practice?
   - Who decides the allocation of bonuses?
   - What is the size of bonuses? Please add data if available.
   - Is the bonus system applied in a fair and equitable manner across institutions and groups of employees, and transparent?

8. What role do public sector unions play in salary setting and salary increases of personnel in administrative positions?

9. Please provide average salary data for hierarchical grades and 'typical' positions for different categories of employees:

   - Average salary in three levels of hierarchy: managerial positions, technical-professional positions, administrative support positions
   - Average salary for 'typical' positions: office administrative assistant (administrative support); accountant (technical-professional); director (managerial)

10. How do salary levels compare to comparable jobs outside the public sector?

11. What are the major weaknesses in the determination of salaries and salary increases?

5.6. Training, Education and Professional/Political Experience

This section focuses on the training, prior education and prior professional and/or political experience of administrative employees. In the survey, it will be difficult to assess the effectiveness of training programme. However, it will be important to identify the different kinds of potential career backgrounds of administrative employees, as this might affect their on-the-job behaviour. We would expect this section to be at most 2 pages in length.

Regarding pre-service training, professional and political background

1. In law and practice, what are the educational (high school/university) requirements for employment in the central state administration for the different categories of employees? Your answer may have partially been addressed in a previous section.

2. According to the relevant laws, do employees of different categories and sub-categories have to possess a certain type of professional experience before they be employed in public administration? For instance, entry at senior civil service level tends to require years of professional experience in public administration or elsewhere. Again, the answer may have partially been addressed above.

3. Does a school of public administration or similar exist where prospective or current civil servants can complete an MPA type degree? If yes, please list the relevant programs, how largethey are and whether they cater to prospective or current public employees.

4. Are (senior) civil servants mainly recruited from particular universities? If yes, please state which ones.

5. Is it common for (senior) civil servants to have studied a particular subject such as law or social sciences?

6. In practice, how common is it for administrative employees to have work experience in the private sector 'before' entering public administration? Are there specific patterns, for instance, for senior civil servants?

7. In practice, how common is it for administrative employees to have worked in politics, for instance, for a political party, a parliamentary faction or as a deputy at central or local level, 'before' entering public administration? Are there specific patterns, for instance, for advisors and senior civil servants?

Regarding in-service training

1. Is there an institution that is responsible for the development of training programmes and the delivery of training for administrative employees?

5.7. Integrity management

This section addresses various elements of integrity management systems. This is a large area that overlaps with the wider anti-corruption policy in each country. Please focus on conflict of interest regulation and the ethical and disciplinary framework in your response. We would expect this section to be at most 2 pages in length.

1. Does a law on conflict of interest exist? If not,
   - Which law, if any, regulates conflict of interest for administrative employees?
   - What is the scope of conflict of interest regulation, that is, which groups of employees are covered? All? Or only some, e.g. the top level?
   - To what extent is the law applied?

2. What the restrictions on political activities of different categories of employees in law and practice? Are administrative employees allowed to be party functionaries? Party members? Hold elected office at central or local level? Are their restrictions on campaigning on behalf of parties?

3. What is the practice in relation to political activities? Is it common for administrative employees to be politically involved? If yes, in what ways?

4. What are the restrictions on additional earnings from the private sector for different categories of employees? Are administrative employees allowed to have parallel employment? Own firms? Or shares? If not, are legal prohibitions enforced?

5. What is the law and practice in relation to additional earnings? Is it common for administrative employees to have additional jobs? Is this regarded as a major problem for the integrity of the civil service?

6. Do administrative employees have to submit asset declarations? If so, which category of employees must do so in law, and which do so in practice? When are declarations submitted? At the time of appointment? Or periodically?

7. Does a code of ethics exist? If so,
   - When was it adopted?
   - Is the code applied in practice?
   - Does the code have inbuilt sanctions for violators? Or is the code a demarcation of values and principles that does not seek to regulate employees?
   - Do employees receive ethical training – as part of induction or specific training on ethics in public administration?

8. Which institution administers the conflict of interest framework? A civil service agency? An anti-corruption agency?

9. What are the main problems in the management of integrity in practice?

7. Key references on civil service management

Please add at least one page of references on key government, donor, consultancy, think tank or academic publications on civil service management in your country, including URLs for us to be able to re-find these documents. If documents are not online, please share them with your responses as separate attachments. All data in your responses to the individual questions should appropriately refer to these references, so that we can locate sources.