Indian Civil Services
Competency based Human Resource Management

Implementation Tool-kit

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Message

     The Competency Dictionary for Civil Services was released earlier by the Department of Personnel & Training (DoPT). It contains 25 competencies which have been categorized under four broad areas namely Ethos, Ethics, Equity and Efficiency. Each competency has a definition and its proficiency levels. Further, each proficiency level has behavioural indicators which are objective, observable and measurable. This dictionary needs to be customized at the organisational level as a first step towards using Competencies in Human Resource Management as mentioned in the 2nd Administrative Reforms Commission (2008).

     To enable the Ministries/Department/State Governments to customize the Competency Dictionary, DoPT has developed an Implementation Tool-Kit in collaboration with United Nations Development Programme (UNDP). This tool-kit contains step-by-step guide on the implementation in an organisation. The document has illustrations, case-studies, self-evaluation exercises etc. to help understand this subject and customize the dictionary for use in the organisation.

(Alok Kumar)

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1. Introduction

1.1. In Summary

This document will help to understand the process and methodology for adapting the Civil Services Competency Dictionary at your organisation.

By the end of this section, you would know what is a competency dictionary and what are the different elements of a competency.

1.2. About the Project

The Department of Personnel and Training is implementing a project 'Strengthening Human Resource Management of Civil Service' in collaboration with UNDP.

This project focusses on developing the capacities of civil servants and on strengthening their enabling environment in view of a more effective, efficient, transparent and accountable Public Administration at National and State level takes to heart the GoI objective of inclusion through an enhanced delivery of services to the marginalised and vulnerable. This project is supporting the Government of India (GoI) in the shift towards Competency-based Human Resource Management (HRM) for the Indian Civil Services.

1.3. About this Document

Under the project, a Competency Dictionary for the Indian Civil Service has been developed along with an implementation tool-kit outlining the application of competencies with HRM practices.

This document outlines the detailed process that is required to identify competency requirements for various positions in an organisation. It contains information, resources and guidance to support organisations as they move forward with the introduction and implementation of Competencies.

1.4. What are Competencies and why are they Important?

Competencies have been defined in many ways. However, a practical definition of competencies that is easy to understand, has been defined by Boyatzis (of Hay Group, 1982). It states that competencies are those underlying characteristics of an employee – motive, trait, skill, aspects of one's social image, social role or a body of knowledge, which can result in effective and/or superior performance in a job or role'.

This definition can be explained further in the context of the Iceberg model, as illustrated and further explained below.

Figure 1:
Iceberg Model of Competencies

Skill

Knowledge

Social Role

Self Image

Traits

Motives
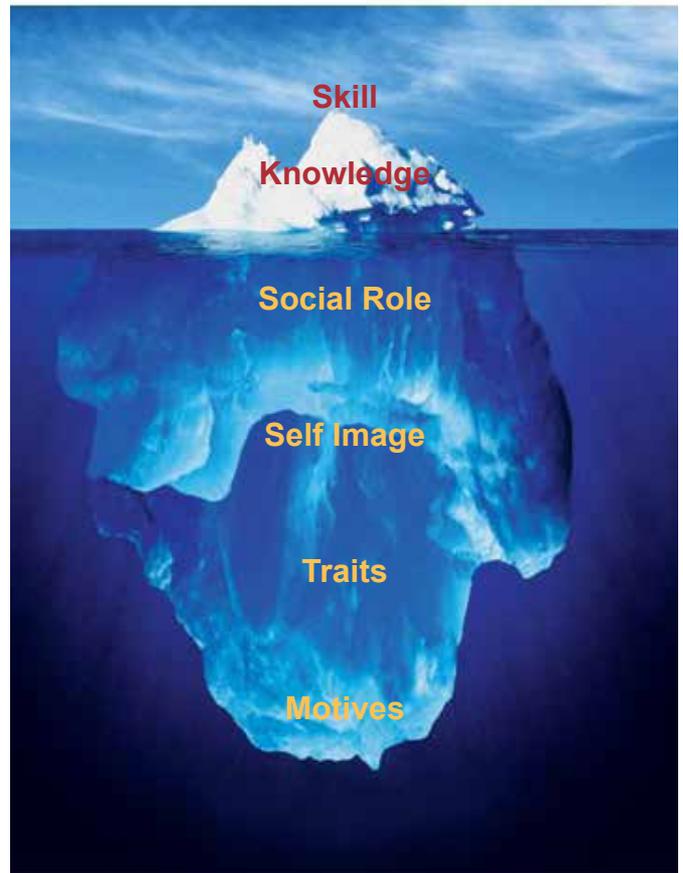
1.4.1. Above The Waterline – Knowledge and Skill

Knowledge is the operational or technical understanding a person has about something and skills are the things a person can do; for example, keyboarding on a computer or writing a report. Some skills, like thinking about new ideas or how to solve a problem, are actually below the waterline because it's harder to see someone actually doing it.

While knowledge and skills are the most common means of matching people to jobs, it is important to note that rarely do they differentiate performance. Most often, they represent the baseline requirements for a job. They are necessary but not sufficient conditions or pre-requisites for outstanding performance in the role. Excellence usually depends on the more deep-seated characteristics of the person.

1.4.2. Below The Waterline – Personal Characteristics

The other factors related to performance are more personal and harder to see in someone, like the rest of the iceberg below the waterline. Also, like an iceberg, with most of the ice below the waterline, the factors below the waterline are significant drivers of higher performance.

1.4.2.1. Social Role

Social role relates to how we project ourselves in our roles. Some doctors, for example, may project the image of EXPERT by focussing on how much they know about some specialty or how much skill they have at some specific function. Others may project the image of a HELPER by focussing on what they can do for others.

How we choose to project ourselves to others influences where we put emphasis while performing our roles.

1.4.2.2. Self-Image

Self-image relates to the attitudes and values we hold, what is important to us as individuals, and how we feel about ourselves. For example, if a person has an attitude or value that serving customers is important, that person may be more driven to provide better customer service than someone else who doesn't feel that way.

1.4.2.3. Traits

Traits are the characteristics or consistent responses of someone. For example, someone may demonstrate the trait of self-control consistently when confronted. Someone else may show a consistent concern for detail. A person's traits may be very helpful in a job, especially when the job calls for the kind of traits a person has.

1.4.2.4. Motives

Motives are the things a person consistently thinks about or wants, which cause them to take action. For example, a person may be highly achievement-oriented and this may drive their performance on the job. Or a person may be motivated by affiliation or friendship and this may drive their performance because the job involves dealing with many people.

Thus, a competency is any knowledge, skill, trait, motive, attitude, value or other personal characteristic that:

•   Is essential to perform a job (Threshold Competency)
•   Differentiates typical from superior performers (Differentiating Competency)

1.5. What is a Competency Dictionary?

A competency dictionary is a collection of competencies for an organisation or set of organisations from where competencies for specific jobs or roles can be identified.

Figure 2:
Competency Definition, Levels and Indicators

Name of the Competency	**Emotional Maturity**	
	Emotional Maturity is the ability to maintain a sense of professionalism and emotional restraint when provoked, when faced with hostility from others, or when working under conditions of increased stress. It also includes the ability to work effectively under stressful situations, remain resilient and maintain stamina over the long term.	
Definition of the Competency	**Level 1: Restrains Emotional Impulses**	• Resists temptation to act immediately when it is inappropriate. • Feels strong emotions (such as anger, extreme frustration, or high stress) but does not react.
	Level 2: Responds Calmly	• Feels strong emotions in the course of a conversation or other task, such as anger, extreme frustration, or high stress; holds the emotions back, and continues to act calmly and respectfully towards others. • Acknowledges angering actions or stressful situations and is able to think through and then respond in a calm and composed manner.
Behavioural indicators of the Proficiency Level	**Level 3: Manages Stress Effectively**	• When feeling strong emotions (such as anger or frustration), holds back and/or removes self from situation to reduce negative impact on others. • Responds constructively and professionally to challenges, provocation and/or disappointments. • Uses deliberate strategies or self-control to ensure ability to function and provide effective leadership in situations of stress or adversity.
Proficiency Level within the Competency	**Level 4: Calms Others During Periods of High Stress or Adversity**	• In stressful situations controls own emotions and calms others as well. • Demonstrates maturity and self control to engage effectively when challenged or while driving an outcome through. • Remains non-defensive, composed and optimistic to seek a positive resolution to a highly challenging situation by managing self and others.
	Level 5: Maintains Effectiveness Despite Prolonged Stressors	• Able to maintain focus and keep up the stamina for self and others in face of extremely contentious situations, or during repeated exposure to difficult demands. • Applies specific techniques such as planning ahead to manage and minimise stress in self and others; coaches and mentors others to do the same.

1.6. Practice

An exercise to identify the training needs of your team

Instructions:

PART 1

Assume your team to be a single unit for this exercise.

Identify 5 competencies from the Competency Dictionary that would make the maximum impact on the results your team could achieve.

You have 100 points to distribute among each of these 5 competencies. Allocate most points to the one you consider most important and least points to the least important among the 5 chosen ones.

PART 2

Where does your team stand on each one of them?

Rate the current performance of the team on each of the 5 competencies.

What will be the impact if these Competencies were as per your expectations?

Competency A	Importance (points assigned out of 100) B	Your Assessment (Points scored out of B)	Impact the Competency would have
1			
2			
3			
4			
5			
TOTAL (Max Points)	100		

Did you notice that the competencies were a mixture of knowledge, skills, attitudes, motives, traits? Did you also notice that with the right kind of competencies, there can be a large improvement in performance of the entire unit?

1.7. Do you want to know more

Recommended Reference Books

The Accountable Organisation: Reclaiming Integrity, Restoring Trust; (2004) by John Marchica; Consulting Psychologists Press.

High Performance with High Integrity; (2008) by Ben W. Heineman Jr.; Harvard Business School Publishing.

A Better Way to Think About Business: How Personal Integrity Leads to Corporate Success; (1999) by Robert C. Solomon; Oxford University Press (US).

Integrity Works: Strategies for Becoming a Trusted, Respected and Admired Leader; (2005) by Dana Telford and Adrian Gostick; Gibbs Smith.

Managing By Accountability: What Every Leader Needs to Know about Responsibility, Integrity and Results; (2007) by M. David Dealy and Andrew R. Thomas; Greenwood Publishing.

The Integrity Advantage: How Taking the High Road Creates a Competitive Advantage in Business; (2003) by Adrian Gostick and Dana Telford; Gibbs Smith.

Corporate Integrity: Rethinking Organisational Ethics and Leadership; (2005) by Marvin T. Brown; Cambridge University Press.

Building Reputational Capital: Strategies for Integrity and Fair Play That Improve the Bottom Line; (2004) by Kevin T. Jackson; Oxford University Press (US).

The Bottom Line on Integrity: 12 Principles for Higher Returns; (2004) by Quinn McKay; Gibbs Smith.

2.
Introduction to the Civil Service Competency Dictionary

2.1. In Summary

By the end of this section, you would be familiar with the contents of the Civil Services Competency Dictionary (provided as Annexure 1).

The 25 Competencies in Civil Services Competency Dictionary have been categorised in four pillars namely Ethos, Ethics, Equity, and Efficiency.

Figure 3:
Pillars of Good Governance and Citizen Centric Administration

Competency Framework for the Indian Civil Service

Ethos	Ethics	Equity	Efficiency
Exhibits citizen centricity and inclusiveness, promotes public good and long-term interests of the Nation	Demonstrates integrity, transparency, openness and fairness	Treats all citizens alike, ensures justice to all, with empathy for the weaker section	Promotes operational excellence and value for money, manages human capital and nurtures capability

Figure 4:
Competency Dictionary for the Indian Civil Service

Competency Framework for the Indian Civil Service

Ethos
- People First
- Strategic Thinking
- Organisational Awareness
- Commitment to the Organisation
- Leading Others

Ethics
- Integrity
- Self Confidence
- Attention to Detail
- Taking Accountability

Equity
- Consultation and Consensus Building
- Decision Making
- Empathy
- Delegation

Efficiency
- Results Orientation
- Conceptual Thinking
- Initiative and Drive
- Seeking Information
- Planning and Coordination
- Desire for Knowledge
- Innovative Thinking
- Problem Solving
- Developing Others
- Self-Awareness and Self-Control
- Communication Skills
- Team-Working

Characteristics of Good Governance
Accountability, Transparency, Equity and Inclusiveness, Participatory, Consensus Orientation, Following Rule of Law, Effectiveness and Efficiency

2.2. Competency Definitions: Ethos

Table 1:
Definitions of Competencies under Ethos

Competency	Definition
1.1) People First	Passion for serving people with special care for the marginalised and disadvantaged. Being approachable, welcoming, caring and rising above bias while interacting with people. Understands the needs of the people and constantly strives to improve the services.
1.2) Strategic Thinking	Ability to understand dynamic internal and external environment and its impact. Responds to the opportunities and challenges for the betterment of society.
1.3) Organisational Awareness	Understanding of the organisation's mandate, structure, policies, processes, norms and its interface with other organisations. It also includes an understanding of the organisation's informal structures, power dynamics and constraints.
1.4) Commitment to the Organisation	Aligns behaviours and interest with the needs and goals of the organisations.
1.5) Leading Others	Ability to engage, energise, and enable the team to excel.

2.3. Competency Definitions: Ethics

Table 2:
Definitions of Competencies under Ethics

Competency	Definition
2.1) **Integrity**	Consistently behaves in an open, fair and transparent manner, honours one's commitments and works to uphold the Public service values.
2.2) **Self-confidence**	Belief in own capability to accomplish a task and being able to express confidence in dealing with challenging circumstances without being arrogant or boastful.
2.3) **Attention to Detail**	Having an underlying drive to being thorough and meticulous and to comply with procedures, rules, guidelines, and standards. Digs deeper and strives to reduce uncertainties and errors.
2.4) **Takes Accountability**	Takes ownership for outcomes (successes or failures) while addressing performance issues fairly and promptly.

2.4. Competency Definitions: Equity

Table 3:
Definitions of Competencies under Equity

Competency	Definition
3.1) **Consultation and Consensus Building**	Ability to identify the stakeholders and influencers, seek their views and concerns through formal and informal channels. Build consensus through dialogue, persuasion, reconciliation of diverse views/interests and trusting relationships.
3.2) **Decision Making**	Makes timely decisions that takes into account relevant facts, tasks, goals, constraints, risk and conflicting points of view.
3.3) **Empathy**	Empathy is about being able to accurately hear out and understand the thoughts, feelings and concerns of others, even when these are not made explicit
3.4) **Delegation**	Delegates responsibility with the appropriate level of autonomy so that others are free to innovate and take the lead.

2.5. Competency Definitions: Efficiency

Table 4:
Definitions of Competencies under Efficiency

Competency	Definition
4.1) Result Orientation	High drive for achieving targets and competing against a standard of excellence.
4.2) Conceptual Thinking	Understanding a situation or environment by putting the pieces together and identifying patterns that may not be obviously related. Connecting the dots while resisting stereotyping.
4.3) Initiative and Drive	Contributing more than what is expected in the job. Refusing to give up when faced with challenges and finding or creating new opportunities.
4.4) Seeking Information	An underlying curiosity to know more about things, people, or issue. This includes "digging" for exact information and keeping up-to-date with relevant knowledge.
4.5) Planning and Coordination	Ability to plan, organise and monitor work with effective utilisation of resources such as time, money, and people.
4.6) Desire for Knowledge	Keeps up-to-date with relevant knowledge and technology, share latest developments with others, and advocates the application of acquired knowledge.
4.7) Innovative Thinking	Open to change, approaches issues differently, offers alternate/out of box solutions and strives for efficiency by working smartly.
4.8) Problem Solving	Understanding a situation by breaking it into small parts, organising information systematically and setting priorities.
4.9) Developing Others	Genuinely believes in others' capabilities to develop and take personal responsibility for their development. Creates a positive environment for learning and provides developmental opportunities for individual and team.
4.10) Self-Awareness and Self-Control	Identifies one's own emotional triggers and controls one's emotional responses. Maintains sense of professionalism and emotional restraint when provoked, faced with hostility or working under increased stress. It includes resilience and stamina despite prolonged adversities.
4.11) Communication Skills	Articulates information to others in language that is clear, concise, and easy to understand. It also includes the ability to listen and understand unspoken feelings and concerns of others.
4.12) Team-Working	Working together as a unit for common goal, building teams through mutual trust, respect and cooperation.

Extensive Consultative Process Adopted

A large number of civil servants in the Centre and State were consulted to develop Civil Services Competency Dictionary. These included Secretaries to Government of India, Cadre Controlling Authorities, PM Award Winners and Chief Secretaries of the States.

Note: The Civil Services Competency Dictionary is attached as Annexure 1

2.6. Practice

1. What is the definition of the competency 'People First' in the Civil Services Competency Dictionary?

2. Under which Competency will you find the following proficiency level:

   Level 2: Plans and Double Checks

3. Under which Competencies will you find the following Behavioural Indicators:

   Creates a culture of mutual trust and respect
   Encourages others to read deeper into others' emotions by providing practical tips
   Creates the systems promoting empathy

2.7. Do you want to know more

Recommended Reference Books

Horton, S., Hondeghem, A. & Farnham, D. (2002) Competency Management in the Public Sector, International Institute of Administrative Science, IOS, Amsterdam.

Hondeghem, A., Horton, S. & Scheepers, S. (2005) "Modèles de gestion des competences en Europe", Revue française d'administration publique.

Lavelle, J. (2007) "On Workforce Architecture, Employment Relationships and Lifecycles: Expanding the Purview of Workforce Planning and Management", Public Personnel Management.

Marrelli, A.F. (1998) "An Introduction to Competency Analysis and Modeling", Performance Improvement.

Nunes, F., Martins, L. & Duarte, H. (2007) Competency Management in EU Public Administrations, EUPAN – Human Resources Working Group.

Vakola, M., Soderquist, K.E. & Prastacos, G.P. (2007) "Competency management in support of organisational change", International Journal of Manpower.

3.
Adapting the Competency Dictionary

3.1. In Summary

By the end of this section, you will be able to identify the relevant competencies required for your organisation from the Competency Dictionary and identify the competencies needed for each of the roles.

3.2. Recommended Process

Adapting the Competency Dictionary to a particular Division/
Department or Ministry involves three main steps. These include identifying the relevant competencies, understanding the roles and jobs and assigning competencies and levels of proficiency to each role.

Figure 5:
Recommended Process for Adapting the Competency Dictionary
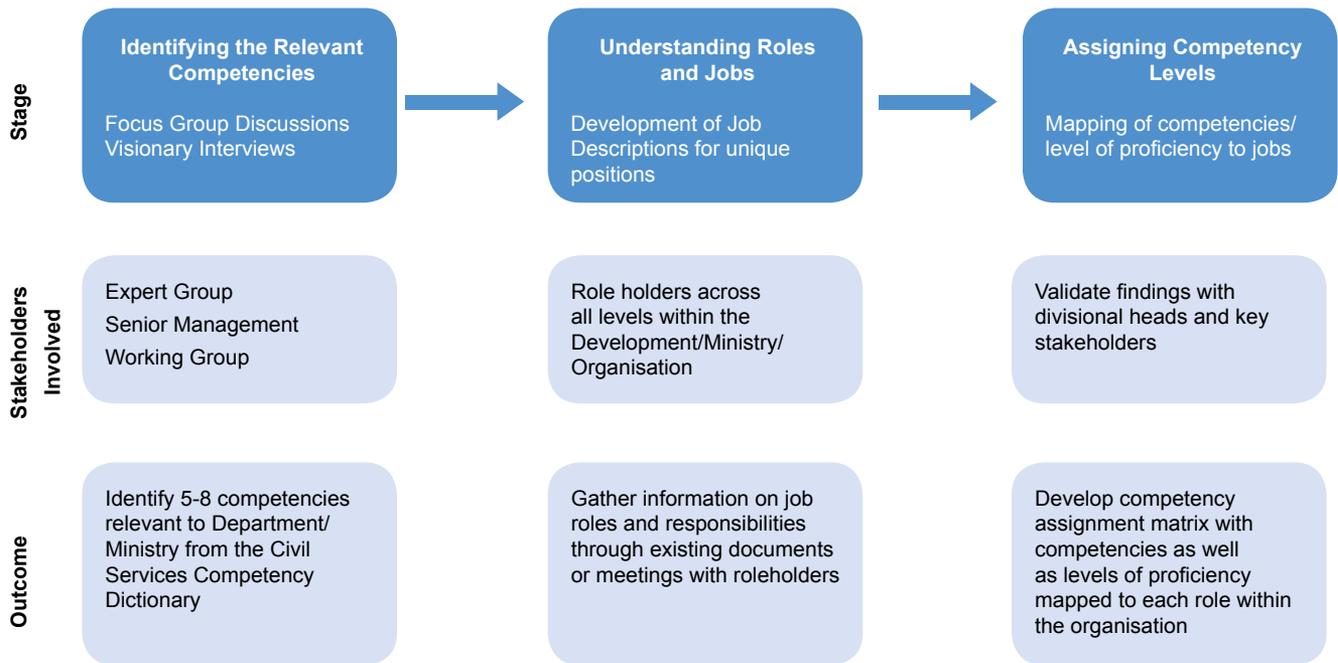
	Identifying the Relevant Competencies	Understanding Roles and Jobs	Assigning Competency Levels
Stage	Focus Group Discussions Visionary Interviews	Development of Job Descriptions for unique positions	Mapping of competencies/ level of proficiency to jobs
Stakeholders Involved	Expert Group Senior Management Working Group	Role holders across all levels within the Development/Ministry/ Organisation	Validate findings with divisional heads and key stakeholders
Outcome	Identify 5-8 competencies relevant to Department/ Ministry from the Civil Services Competency Dictionary	Gather information on job roles and responsibilities through existing documents or meetings with roleholders	Develop competency assignment matrix with competencies as well as levels of proficiency mapped to each role within the organisation

3.3. Step 1: Identifying the Relevant Competencies

In order to identify competencies to suit the unique and specific needs of the Department or Ministry, it is important to have an understanding of the long-term strategic vision of the Department/Ministry and identify current and future organisational requirements. To gather this information, visionary interviews may be conducted with the Senior Management. Focus Group Discussions may also be organised with multiple stakeholders across all levels within the Department/Ministry to gather relevant information and data on critical competencies.

3.3.1 Conduct Visionary Interviews

The Senior Management of the organisation, (Head of the Organisation and other members of the Senior Management Team) should be interviewed to understand the strategy and the vision of the organisation.

The interview is best conducted by the leader of the project along with a person who is well versed in the art of investigative interviewing techniques.

The focus of visionary interview is to understand the strategic plan, vision, mission and values of the organisation. An understanding of the strategic drivers is also critical. It is also important to elicit the assumptions made on people's capabilities that are inherent (and sometimes explicitly mentioned) in the plan.

Visionary interviews also help to identify new initiatives underway, specific instances of how superior performers handle specific job tasks or problems, and effective and ineffective job behaviours, thoughts, and feelings.

From visionary interviews, you should be able to identify the broad behavioural expectations from the employees. These may not be exhaustive, but will help in identifying the critical behaviours expected by the organisation's leadership.

3.3.2 Conduct Focus Group Discussions

The objective of facilitating Focus Group Discussions with relevant stakeholders is to obtain information on current and future organisational requirements, behaviours required to succeed within the organisation, validate findings and draft competency framework.

Focus Group Discussions can help to identify, review and discuss the current challenges and those anticipated in the future. They can also help identify applicable competencies required for effective job performance. In addition, Focus Group Discussions can help identify examples of the different types of behaviours that would be exhibited by individuals at different levels of a competency. Therefore, the information gathered through Focus Groups can also be used as a valuable input when developing proficiency levels of each competency.

Focus Group Discussions, therefore, help to identify competencies and behaviours that are linked to organisation objectives and strategy.

Assembling your Focus Groups

- Have separate focus groups for employees and supervisors/managers to foster an environment of open discussion.
- Make the focus groups as diverse as possible.
- In large organisations, have three or four focus groups for each classification of jobs (or job family).
- Have at least two facilitators for each focus group – one to lead the discussion and one to observe and take notes.
- Limit the size of each focus group to 12-15 participants.
- Schedule two to three hours for each focus group meeting.

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Table 5:
Conducting Focus Group Discussions

A Brief Guide to Conducting a Focus Group

</div>

Welcome/ Introductions	- Set up the context for the roles to be discussed in the focus group - Set the 'roles' the participants are in. Clarify the perspective they bring to the meeting. - Let participants introduce themselves: current or past role(s), number of years with organisation, etc.

Project Context and Background	- What brings us here?
	  - Invite key stakeholder to share background of the project.
	  - "What do you know about the project?"

Objectives for the Session	- What are we trying to accomplish today? - Review the objectives/deliverables for the day. - Define purpose and core accountabilities for a role - Look for what makes the difference in the job
Agenda	- The timing of the day - Review the Agenda for the day.
Ground Rules	- To participate - To be on time - To respect each other - To share your thoughts and opinions - To have fun - To arrive at an agreement/consensus at the end of the meeting - Add any others that may be helpful to the participants
Overview of Why, What and How	- *WHY:* Broad departmental objectives which links into the overall purpose of the role – Why does it exist? What value does it bring? - *WHAT:* What, at the end of the day, does the role need to accomplish and how do we know if the role is doing what it is supposed to? Accountabilities delineate what we hold people accountable to do in a given role, thinking about not only key activities or actions carried out, but also measures and expectations. This is a key foundation piece. - *HOW:* This is a key piece of the puzzle. The 'Why' and 'What' is only part of the picture; it's also about 'How'. For e.g. there could be a person who gets the results but with whom nobody wants to work.

Behaviours	• Gathering the behavioural examples from the participants is the most important element to a successful focus group
	• This section of the focus group allows you to gather the behavioural data directly from the incumbents. Emphasise the importance of keeping real individuals in mind within the client's organisation. This will ensure that the data gathered is not an unrealistic composite of superior performance, but instead reflects what actual superior looks like inside their organisation. For example, the panel may identify "Uses Influence Strategies" as a competency or behaviour, but not the how, when, or what an effective influence strategy looks like in this particular organisation. Strive to gather the richness of detail to make the behaviours identified "come alive" in sufficient detail to be useful for developing the model and future applications.
	• Ask for examples:
	• Take key accountabilities for the outstanding performer, and ask the group to generate the behaviours that they have observed.
	• Continue generating the first behaviour from all participants, asking probing questions to get at high-level, detailed examples of behaviours observed in outstanding performers within their organisation.
	• Repeat this process for a typical performer in order to gain insight on the gap between typical and outstanding.
	• Obtaining thorough and detailed data on the behaviours of outstanding performers is essential to running an effective focus group. This is the basis for developing the competency model.

Please Note:

There is a practice exercise (3.5) at the end of this chapter. A very useful way to practice is to read the exercise in its entirety now, but attempt to answer the questions step wise following the sequence of the steps listed in this Chapter.

If more than one colleague is interested in the process, you may involve him/her and compare notes of your findings. Discuss 'how and why' you chose certain competencies and take note of the reasons behind the other person's findings.

Did You Know

A typical Job Description consists of a statement of accountabilities of the role holder, that clearly define the job in terms of its function and its reporting relationships.
It is mandatory to have a written job description in many countries.

3.4. Step 2: Understanding Jobs and Identifying Competencies

The next step in customising the Competency Dictionary to the specific and unique needs of a Division/Department or Ministry involves understanding the roles that exist within the organisation.

Jobs within an organisation can be understood through a process called 'Job Analysis' which involves understanding the 'what' and 'why' of the work to be done. It is a process of gathering facts that would enable others to make judgment about the work to be done. This process would involve:

• Understanding the department structure and distinct roles
• Collating existing published and unpublished sources of information regarding the list of distinct roles in the organisation
• Conducting meetings with the key stakeholders to understand the structure and distinct roles within the department
• Documenting the job descriptions for all the distinct roles. Information from existing government documents, such as induction material, could be used to gather the necessary information.

Since the Ministries/Departments have a wide range of existing documents that clearly detail the work allocation of role holders, specific interviews need not be conducted in order to develop Job Descriptions for each role. Existing documents such as induction material, internal delegation of authority and channel of submission documents, may be used as an input to obtain the necessary information required in a Job Description. Some of the key ingredients of a Job Description include basic information on the role, organisation chart, job purpose, dimensions, principal accountabilities, key decisions, key interactions and the knowledge, skills and experience required for a job.

3.5. Step 3: Assigning Competencies and Proficiency Levels to Jobs/Roles

3.5.1 Developing a Competency Assignment Matrix

To assign competencies, it is important to understand the stated and the unstated complexities that the job-holder handles. In order to assign competencies to the jobs identified in Step 2, a Competency Assignment Matrix needs to be created. The objective of this matrix is to identify different roles in the organisation, their levels and accountabilities and cluster jobs as per different levels of complexities and responsibility. The competencies and proficiency level requirements are then mapped to each role. These may vary across different Divisions/Departments or Ministries for the same job levels.

The Competency Assignment Matrix helps in classifying jobs in the organisation as per their role in achieving the organisation's objectives and their level of complexity. Complexities within a role could be degree of public contact, nature of the problems being solved, uncertainties being handled by the job-holder (less or no precedences or guidelines available) or the impact the job can have on the organisation.

The Competency Assignment Matrix, helps to understand the right competencies and the proficiency level needed to meet the job objectives and can be used to take better decisions on the kind of training required, job rotation and career movements.

Figure 6:
Sample Competency Assignment Matrix

Proximity to Organisation Results

Levels of Work			Planning & Policy — Coordination & Evaluation — Operations
Strategic		**Enterprise Leadership**	**Definition:** Thinking about the organisation's overall policies and strategies. Goals are very broadly defined. Often confronting the unknown.
		Strategy Formation	**Definition:** Thinking required to set the broad strategy for an organisation that is integral to the core purpose of the total enterprise. Necessarily long-term, considering and integrating the discontinuous change in terms of products, markets, and technologies. In functional roles the contribution will include both setting enterprise wide functional policies and developing corporate objectives and strategies.
		Strategic Alignment	**Definition:** Thinking to position a business or function within broadly defined organisation strategy. Scanning the environment and anticipating the impact of external forces.
Operational		**Strategic Implementation**	**Definition:** Focussed on the variable application of policy locally – turning functional policy into reality. Thinking requires considerable degree of interpretive, evaluative and or constructive thinking to address issues that are noticeably different from what has been encountered previously.
		Technical Implementation	**Definition:** Thinking is towards clearly defined functional objectives within established policy frameworks, but requires solutions that represent improvements on current practice.
		Instruction Based	**Definition:** Instruction based role where thinking activity is limited to carrying out instructed activities.

Sore thumbing is the process of looking for things that 'stick out like a sore thumb'.
As the Competency assignment process is about relative values, each job must be assessed correctly relative to all other jobs. Getting a visual look after all the jobs have been assigned competencies and their respective levels is a very helpful process.

3.5.2 Mapping Competencies to Roles

Once the roles have been mapped to the Competency Assignment Matrix, the next step is mapping of the relevant competencies to the role. The process would include the following steps:

- Use existing material or Job Descriptions as an input to identify areas of accountability for roles at a particular level
- Identifying competencies relevant to the Department or Ministry from the Civil Service Competency Dictionary
- Identify competencies that would support role holders in successfully carrying out their duties and map competencies to accountabilities
- Determine the level of proficiency for each competency required for the role
- Assign the level of proficiency for each competency to roles based on nature of role, level of responsibility and problem solving complexity
- Validate mapped competencies with divisional heads and key stakeholders

The following framework can be used to identify the kind of work (as defined by the Levels of Work) and nature of work being carried out by the job-holder. The nature of work is being defined in terms of proximity to the Organisations' main results or purpose.

Figure 7:
Sample output of mapping competencies to roles within an organisation

Proximity to Organisation Results

Level of Work

Role 3	Accountabilities Competencies: Strategic Thinking Level of Proficiency: 4		
Role 2		Accountabilities Competencies: Decision Making Level of Proficiency: 3	
Role 1			Accountabilities Competencies: Results Orientation Level of Proficiency: 1

3.6. Practice

Practice Exercise: Mapping Competencies

From the information provided below and the Civil Service Competency Dictionary identify the competencies and the levels of proficiency for each role.

Suggested steps
Identify relevant competencies from the Competency Dictionary (between 5-8)
Study Job Descriptions and identify competencies for each role
Identify Levels of Proficiency required for each role

After identification of the competencies and levels of proficiency, please provide the following information
Criteria for identifying relevant competencies
Criteria for the identification of competencies and proficiency levels for each job
Criteria used for differentiating competencies and proficiency levels between jobs

Case Study: Kendriya Vidyalaya
(Please note that the material used in this case has been adapted and may not bear any resemblance to reality)

Mission

The Kendriya Vidyalayas have a four-fold mission, viz.,
1. To cater to the educational needs of children of transferable Central Government including Defence and Para-military personnel by providing a common programme of education;
2. To pursue excellence and set the pace in the field of school education;
3. To initiate and promote experimentation and innovations in education in collaboration with other bodies like the Central Board of Secondary Education (CBSE) and the National Council of Educational Research and Training (NCERT) etc. and;
4. To develop the spirit of national integration and create a sense of 'Indianness' among children.

Salient Features

Common text-books and bilingual medium of instructions for all Kendriya Vidyalayas.
All Kendriya Vidyalayas affiliated to Central Board of Secondary Education.
All Kendriya Vidyalayas are co-educational, composite schools.
Sanskrit is taught from class V to IX.
The quality of teaching is kept reasonably high by an appropriate teacher-pupil ratio, approximately 18:1.
No tuition fee for boys upto Class VIII, girls upto Class XII and SC/ST students and children of KVS employees.

Organisation Structure

Governing Board

Principal

Head IT | Head of Finance And Accounts | Head of Administration | Vice Principal Junior School | Vice Principal Senior School

Junior School Administration

Heads of Departments

Security

Subject Teachers

Accounts

Trainee Teachers

Lab Technicians
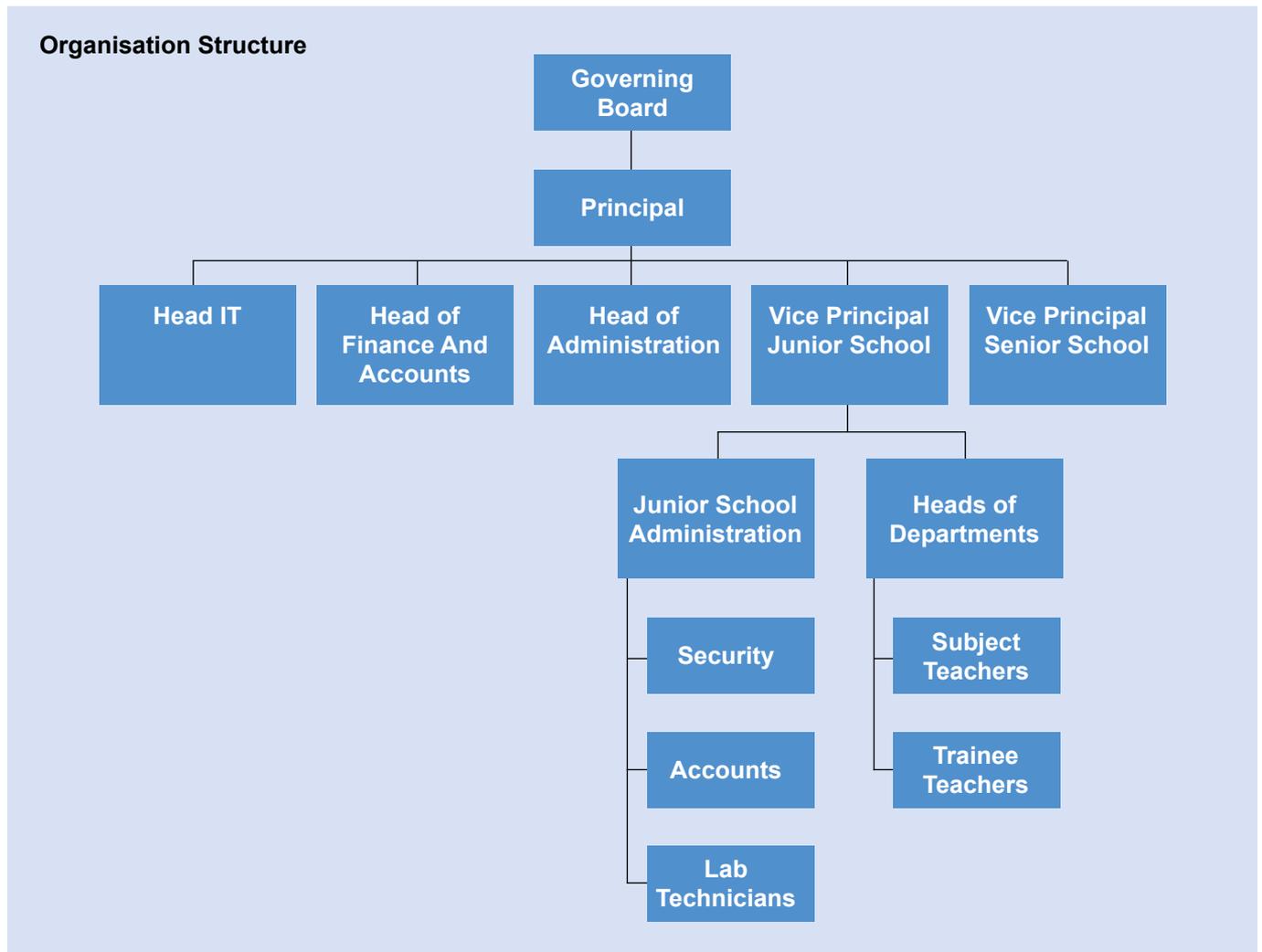
Case Study: Sample Job Descriptions

A. Elementary School Principal

Mission

1. **Primary Function:** The Principal will provide leadership and administration which will motivate instructional and support personnel to strive for superior performance so as to provide the best possible opportunities for student growth and development, both educationally and personally.

2. **Line of Authority:** Directly responsible to the Superintendent of Schools except in the areas of curriculum and instruction where the responsibility is to the Director of Educational Services, unless modified by the Superintendent of Schools.

3. **Supervision of Others:** Direct supervision over Teaching Staff, Administration Staff, Secretarial/clerical Staff, all regular instructional and other Professional Staff members assigned to the school.

4. **Areas of Responsibility:** In addition to the primary function, the principal is responsible for:

- Developing/administering the general school routine, coordinating all activities within the school.
- Participating in the selection of new teaching and classified personnel as per approved policies.
- Observing, counselling, and motivating staff toward performances to attain educational goals.
- Utilising all available school facilities, materials, and staff service personnel.
- Encouraging/initiating continued improvement in curriculum/teaching methods in conjunction with faculty.
- Identifying intellectual, physical, social and emotional needs affecting students' success in school, and taking steps to direct and coordinate the efforts of teachers and parents with staff services and special education personnel.
- Planning and submitting annual budget needs for the building to the Director.
- Maintaining effective communication to keep the staff, students, and parents properly informed.
- Orienting new personnel assigned to the school.
- Having school records available and up to date for ready reference and reporting.
- Planning and conducting faculty meetings as necessary.
- Interpreting/clarifying relationships between teachers and specialised personnel in accordance with District Policy.
- Affecting/recommending changes which lead to improved administration and opportunity for student development.
- Actively participating and encouraging staff participation in parent-teacher and other community groups, as a means of developing understanding, cooperation, and respect for school objectives and endeavours.
- Review, authorise, or disapprove staff requests for instructional materials and equipment within approved budget.
- Authorising all requests for special pupil transportation needs of the professional staff.
- Attending professional conferences, seminars, and workshops in education and/or educational administration.

B. Lab Assistant

1. Teacher Support:

- Liaise with science teaching staff on their needs for practical work and;
- Maintain an efficient system for use and allocation of materials and equipment, setting a priority system.
- Advise science teaching staff on technical components of curriculum.
- Assist science teaching staff with demonstrations.
- Assist science teaching staff in instructing students on use/care of equipment.
- Advise and assist science teaching staff in safety matters relating to the science laboratory.
- Demonstrate laboratory techniques to science teaching staff/students.
- Assist with the use of computers and learning technologies within the department.
- Set out equipment and materials for classroom/department use.
- Clear classroom demonstrations.

2. Preparation and Maintenance Task in the Lab

- Prepare solutions, stains, and media for use in the laboratory.
- Maintain a safe chemical storage/handling/disposal system in accordance with current regulations.
- Assist with security of science laboratory and equipment.
- Maintain an inventory of equipment and annual stocktaking.

- Keep a record of the consumables used regularly and maintain adequate supplies of them (including chemicals).
- Acquire relevant catalogues and price lists.
- Assist with labelling, storage, stocktaking and ordering of equipment and chemicals.
- Keep appropriate records of purchases, confirming safe arrival of all products.

3. Budget

- Assist with the science budget and petty cash system.
- Assist with record keeping.
- Evaluate and select equipment, and make recommendations for purchase to Science Coordinator.

3.7. Do you want to know more

Recommended Reference Books

Athey, T. R., & Orth, M. S. (1999). Emerging competency methods for the future. Human Resource Management, 38, 215-226.

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Wise, L., Chia, W. J., & Rudner, L. M. (1990). Identifying necessary job skills: A review of previous approaches. Washington, DC: American Institutes of Research.

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4.
Developing an Action Plan for Implementing Competencies

4.1. In Summary

This section will help you to understand the project team requirements and roles to develop a Competency Dictionary for your organisation

4.2. Developing an Action Plan

During the design of the Competency model in the Organisation, a collaborative, team-based approach is essential to successful implementation. The following points summarise the key ingredients for an effective team.

1. **Shared interest:** Begin by discussing the intent of competencies and developing a shared understanding of the principles motivating adoption of the competencies.
2. **Mutual support:** The process of change is challenging. Establish clear objectives and break the process into manageable steps. Celebrate your success along the way.
3. **Collaboration:** Team members will need to support each other and collaborate to achieve the objectives. It is critical to use each other's strengths and help each other in the implementation while working on the day job as well.
4. **Communication:** Information sharing and communication within the team and across the Organisation is key to success.

4.3. Project Planning

This step involves agreeing on project management components such as:

*   Detailed workplan including timelines, accountabilities, and resource requirements.
*   Communication strategy to achieve understanding and acceptance of project initiatives.
*   It is recommended to establish a core group to assist in the planning, coordinating, communication, and support of the project implementation and to make key decisions throughout the project.

The detailed work plan should clearly specify the tasks, responsibilities, and milestones, and target dates for their accomplishment. It should also include resource requirements to facilitate Focus Group Discussions, conduct Visionary Interviews, develop and validate the customised Competency Model and monitor the project on an ongoing basis.

4.4. Establishing a Team to Develop Competencies

There are several key roles that will contribute to the successful development of Competencies within your Organisation. The following table lists and describes each role.

Table 6:
Establishing a Team to Develop Competencies

Role	Description
Project Champion	• The role of the Project Champion is to support the development of Competencies in the Organisation. • It is the responsibility of the Project Champion to identify resources and funds that are available to support the development of the competency model. • Ideally, the Project Champion should be the Head of the Organisation.

Change Advocate	• The Change Advocate is responsible for implementing competencies.
	• The key responsibilities of the Change Advocate are:
	  – Establish a team of Change Agents
	  – Drive and lead the project management activities
	  – Act as an expert who provides Organisational information/data required to contextualise and develop the Competency Model for the Organisation
	  – Ensure that the milestones are completed in a timely manner
	• Establishing a fully functional team of Change Agents is essential as it will ensure that representatives are prepared and confident to support the development of Competencies
	• Ideally, the Change Advocate should be a member of the Core Group

Change Agents	• The Change Agents are a group of employees who will help to champion Competencies throughout the Organisation.
	• The role of the Change Agents is to:
	  – Determine the critical needs of the Organisation and what are the competencies that will help employees achieve objectives.
	  – Encourage individuals to challenge existing belief's and arrive at innovative solutions that will result in better outcomes for the Organisation.
	  – Determine the process for implementation – i.e. focus groups, interviews, surveys, etc.
	  – To ensure deliverables are completed on time.
	  – Communicate status updates and final outcomes to the stakeholders.

Subject Matter Expert	• The role of the Subject Matter Expert is to:
	  – Drive the competency model development process along with the Change Advocate.
	  – Provide technical expertise, guidance, support, training and mentoring as the Competencies are implemented in the Organisation.

Note: It is the joint responsibility of the Change Advocate and Subject Matter Expert to ensure the development of the Competency Model in the Organisation. The establishment of a true partnership between the Change Advocate and Subject Matter expert is critical for the success of the project.

Key Success Factors

• Creating a detailed project plan and ensuring adherence to set project timelines
• Ensuring on-going communication between relevant stakeholders
• Involving the employees for identifying the Competencies for your organisation
• Providing information on the training schedules for each of the training programmes
• Providing regular updates around the progress of the implementation in your organisation

4.5. Sample Action Plan

Figure 8:
Sample Action Plan

Process	Activity	Responsibility	Involvement of	Mode
Project Planning	Unique Roles Identification		Respective Core Group Members	Discussion
Job description- upto Director level	Understanding Roles		Incumbents up to Director Level	Interviews
	1st Validation of Document		Each Incumbent Interviewed	Email
	2nd Validation of Document		Supervisor of each document	Email
Job description- below Director level	Conducting workshop to write job descriptions		1 representative of each role	Workshop
	1st Validation of Document		Workshops participants	Email
	2nd Validation of Document		Each Incumbent's supervisor	Email
	Final Validation of Document		Division Head	Email
Role Competencies	Identification of Departmental Competency Dictionary		Top Management of each department	Interview
	Developing Draft Role Competencies for each role		Project Manager	
	1st Validation of Role Competencies		Divisional Heads for each set of roles falling within their Division	
	2nd Validation of Role Competencies – If Needed			

Useful Tip: Use the table below to identify the different stakeholders and representatives that you would need to involve in order to further advocate this process and implement it within your department. These representatives may be from within your organisation or from external organisations. It would also be useful to identify the support you may require in order to successfully implement this initiative.

Resources Required	Within Organisation	External Organisation	DoPT

4.6. Do you want to know more

Recommended Reference Books

In Beyond the Core, published by Harvard Business School Press, 2004, author Chris Zook,.

Elspeth Murray, Peter Richardson, Fast Forward, Oxford Press Inc., 2002.

Angel Customers & Demon Customers, co-authored Larry Selden and Geoffrey Colvin (2003, Penguin Books) provided useful insights into augmenting processes for sub-segmenting and creating new value propositions.

Six principles for making new growth initiatives work, Adrian Slywotzky and Richard Wise, Ivey Business Journal, May/June 2003.

Competing on Strategic Capabilities: The new rules of corporate strategy by George Stalk, Philip Evans and Lawrence Shulman, Harvard Business Review, March – April, 1992.

Bringing Strategy to Life: How scorecards help RBC align business and HR plans, Donald Baer, HR Professional, February/March, 2005.

Maverick at Work, William C. Taylor & Polly LaBarre, HarperCollins, 2006.

5.
Application of Competencies to Human Resource Management Practices

5.1. In Summary

This section will help you to understand the different uses of competencies and the various ways in which competencies can be applied and integrated into existing Human Resource Management Practices.

5.2. Using Competencies

Competencies have a wide range of applications across human resource management practices. Competencies can be applied and integrated into recruitment and selection, performance management, training and development, career and succession planning and reward systems. The figure below describes the different Human Resource Management practices to which competencies can be applied.

5.3. Using Competencies in Recruitment and Selection

Competencies can be used in both recruitment, for attracting a candidate for a position, as well as for selecting a candidate based on a job requirements. The basic hypothesis of a competency-based selection is that the smaller the gap between the certain job requirement and the competencies of the job holder, the higher performance and satisfaction that will be gained.

Figure 9:
Application of Competencies to Human Resource Management Practices

How should employees be rewarded?

How should employees be assessed?

Job Design

Recruitment, Selection, Assessment

What should performance management focus on?

Reward

Competencies

Performance Management

How should qualified candidates be identified?

What are the succession requirements for our organisation?

Career and Succession Management

Training & Development

What are the training and development requirements of the Jobs?

Various assessment methods can be used during the course of competency based recruitment or selection and these vary widely in terms of predictive validity. Some interviewing methods include discussions, citing evidence, competency-based interviewing, assessment centres and competency questionnaires.

5.3.1 How to implement competencies in recruitment and selection

Figure 10:
Application of Competencies to Recruitment and Selection

Phase 1:
Determine Job-Person Requirements

Determine Job Responsibilities

- Obtain and agree request to hire
- Determine job responsibilities:
  – Purpose
  – Key accountabilities
  – Scope
  – Level/grade

Determine Job-Person Requirements

- Qualifications and experience
- Skills and knowledge
- Competencies

Phase 2:
Recruit Candidates

Source Applications

- Source internal applications
- Source external applications:
  – Advertisements.
  – Recruitment agencies
  – Other provides as appropriate (e.g. universities).
  – Referrals

Process Applications

- Receive applications.
- Review and screen applications.
- Conduct background checks (if legally required).
- Short-list candidates.

Phase 3:
Select Candidates

Determine Job Responsibilities

- Conduct initial interview:
  – Relevant qualifications and experience
  – Skills and knowledge
  – Overall suitability and interest
- Short-list candidates.

Determine Job-Person Requirements

- Conduct assessment:
  – Competencies
  – Overall suitability and interest
- Conduct reference checks

Source Applications

- Select Preferred Candidate; or
- Confirm Final Candidate.

5.4. Using Competencies in Performance Management

Competencies can be used in performance management to provide a clear link to bottom-line results. Integration of competencies within the existing performance management system also helps create a motivating organisational climate that enhances performance and provides additional role clarity in terms of expected standards, responsibilities/accountabilities, rewards and recognition.

### 5.4.1 How to implement competencies in performance management

Figure 11:
Application of competencies to Performance Management

PLANNING

Defining and agreeing on objectives

REWARDING

Relating pay to performance Linking to training, career development and succession planning

The Performance Management Process

MANAGING

Tracking, monitoring, supporting and coaching performance

REVIEWING

Appraising performance and providing feedback
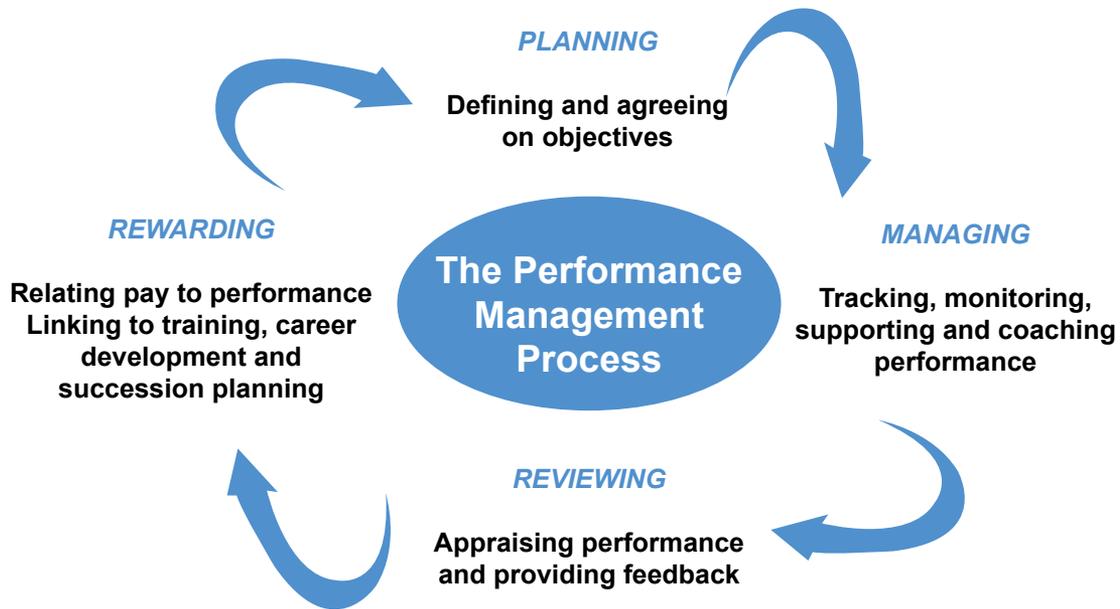
5.5. Using Competencies in Training

Competencies can be applied to training and integrated into various training programmes. When applying competencies to training it is imperative to set competency development objectives and ensure these are reviewed on an on-going basis to check if the objectives have been achieved. This can often be a part of a Performance Management Process or as the result of an Assessment Process or Training Programme.

Training programmes may be focussed on one or more competencies like leadership or on providing additional learning and development support through executive coaching, competency development resource guide/other self study/independent learning materials or referent groups/learning sets following a development programme.

5.5.1 How to implement competencies in training

Figure 12:
Application of Competencies to Training

How to implement competencies in training

ASSESS NEEDS	DESIGN AND DEVELOP	DELIVER	EVALUATE
Assess training needs • Organisational analysis • Job and task analysis • Person analysis Develop training objectives	Design and develop training, applying knowledge of learning principles • Select training methods • Develop detailed content • Develop training materials • Pilot test training programme • Train trainers	Deliver training	Evaluate training: Were objectives met? • Reaction • Learning • Behaviour • Results

Modify and improve programme

5.6. Competency Assessment

> Competency Assessment process is subject to legal scrutiny in many countries. Such scrutiny may be applicable to government and non-government organisations. It may be pertinent to keep this in mind while selecting assessment tools even in India.

Assessing competencies of job-holders vis-a-vis current or future role requirements can help in identifying training needs of the individuals. Based on the training needs identified, a developmental plan could be prepared to provide targeted developmental inputs over a period of time to bridge the gaps identified.

5.6.1. Modes of Competency Assessment

Competencies can be assessed in many different ways. Some of these are:

*   Assessment by the colleagues, peers, subordinates and superiors. This community of assessors usually has the best data to rate the assessee. However, the key limitations in using this method has been:
    – Validity of the instrument to collect the data
    – Bias of the raters
    – Organisation's ability to handle the feedback thus generated
*   Assessment by trained assessors:
    – One technique often used is called the Behavioural Event Interview. This is used by certified assessors and is reputed to have among the highest validity among various tools. This is an interviewing technique which uses a defined and structured interviewing process to identify the competency displayed by the assessee.
*   Using Psychometric Tools: Psychometric tools are of many types and hence have varied degree of validity. They are also pre-constructed to measure behaviours and therefore may need to be limited only to a set of competencies. Sometimes one may need to use a basket of such tools such that all the competencies that need to be assessed are covered. It is very important to ensure that the tools have validity among the target population.

5.6.2. Designing a Competency Assessment Plan

The first thing that needs to be identified is the purpose for which the assessment results will be used. The main reason for such care is that different assessment tools have different degree of validity. Depending upon the risk associated with the process, the appropriate tool (or tools) may be chosen.

Figure 13:
Measuring the risks associated with designing a Competency Assessment Plan for various HR processes
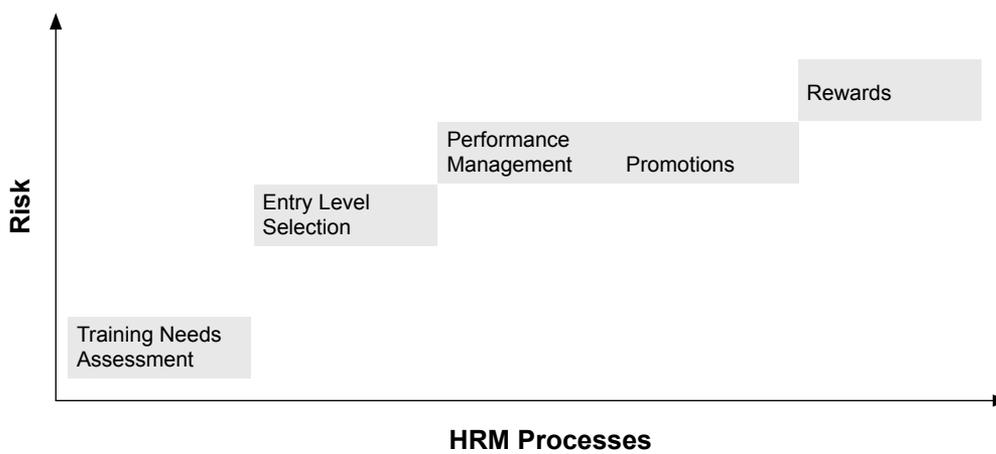
Given below is the validity of some of the tools as measured by the British Psychological Society:

Table 7:
Validity of Competency Assessment Tools

Predictive Validity Findings of some of the methods of Assessments	
Assessment Method	**Predictive Validity**
Assessment Centres (multiple methods)	.65
Behavioural Interviews	.4 - .6
Work-sample Tests	.54
Ability Tests	.53
Modern Personality Tests	.39
Biographical data	.38
References	.23
Traditional Interviews	.05 - .19

5.7. Practice

Read the transcript below between the interviewer (INT) and a candidate (Chri Pipers).

INT: Do you like to be called Chris? (**INT**)

CP: Chris Pipers. (**CP**)

INT: And is this working? Why is this making noises? (Thumping noise in background)

CP: It sounds better now.

INT: Okay. We're doing a BEI.

CP: How about that!

INT: So, can you start and tell me a little bit about your career; how you started?

CP: I started with Elton in 1975 when I was a sophomore in college. I was an Engineering Co-op student, and I had quite an unusual and positive experience. I was 19 to 20 years old, and I was a co-op student in a small town in Ohio, I built a foundry; and I managed a construction project.

INT: Wow. That must have been good.

CP: So, that was very exciting with a significant amount of responsibility at a very young age, and that really had a lot of influence on me, and as you can imagine 25 years later, I am still at Elton. So, I think that's one of the positive aspects.

INT: So, you've been at Elton your whole career?

CP: Yes, I have. Right.

INT: Okay. So, after you're a co-op student, can you just like briefly take me through the kinds of jobs you had?

CP: Well, I continued to work for Elton in the summers, and I went straight to business school, and I graduated from business school in 1979, and then I went to work for Skill Corporation as Manager of Advanced Planning. Skill was a new acquisition, and I took over a planning role. It was a very large acquisition at that point, and I went to work for a man named Jim Harniman, who was my mentor for probably the next seven years, and I did strategic planning work in a turnaround mode at Skill, and within a seven year period – like I said I did planning work. The first two years were primarily working at Skill on that turnaround.

The second phase of this was Jim Harniman got promoted and became the first Tool Group Executive, so it was the first grouping divisions at Elton, and became the Tool Group Planner. So, I extended the work and theories that had applied at Skill to the other companies within the Tool Group, and then Jim Harniman eventually became President of Elton, and I extended further within the corporation to where by 1986 I had pretty much done planning work, and I'd like to say 60 to 70 percent of Elton.

So, at that point I was 30 years old, and I wanted very much to get into a line position, and I became a Division President.

So, from '86 to 1990, I was President of a company called Harris Calorific –C-A-L-O-R-I-F-I-C, and it was about a $30 million company when I started, and I ran that for four years and that was sold to Lincoln Electric at which point I was not sold, and I came back to Corporate and worked first as Head of Corporate Planning, beginning at – really at the beginning 1990, and I expanded my responsibilities.

By '92 I was in charge of technology planning and also the whole acquisition area. So, I ran acquisitions for Elton in addition to doing the planning, and worked for the CEO at that point. That job became a combination

of acquisitions and then the start of what we called the growth initiative, and so I evolved into doing a lot of – putting in place a lot the fundamentals to improve growth within Elton. In 1991 or '92, Elton had what was called the Profit Initiative, and Jim Burgess became the first so called profit Czar. And so, by 1997 I evolved into being Elton's first Growth Czar.

INT: Ah!

CP: So, at that point, I went back into a job where no one reported to me per se, but I had pretty far-reaching latitude to go and initiate growth, and I had committees of people, and so I took on the Growth Czar. I ---

INT: How was that?

CP: It's a fascinating experience, and in your three or four hours with me you'll never have time to go through all of it. No, I learned – I haven't chosen yet what my positive experiences were, but probably as far as personal growth is concerned, I probably learned more about that, about what it takes to succeed with these companies than anything.

We worked with Gary Hammill, who wrote the book, 'Competing for the Future,' and was doing a lot of work on innovation, and he became a close collaborator of mine on how you create an innovative environment in a company. And perhaps the unfortunate part of this story is that after doing that for a year, I pushed to get back into a line position. And a business leader position became available, and to (Chuck Knight's) credit he let me to do that, so I went back and I became a business leader with eight divisions reporting to me. And so, I went back into a line role, running the industrial components and equipment business, which is a collection of eight very successful businesses, and I went into a role of managing these eight divisions Presidents.

And I did that for a year and a half, and six weeks ago I was asked to do the growth job again in addition to my business leader duties. So, now I am the Growth Czar of Industrial Components and Equipment Business Leader. And as the Growth Czar, I have the Chief Marketing Officer and the Chief Information Officer, and the person who is in charge of service reporting to me.

INT: In charge of service. So these are your direct reports?

CP: I have Division Presidents.

INT: Your Division Presidents?

CP: Right.

INT: And your Chief Marketing Officer, your Chief Information Officer?

CP: And the Vice President of the Service Initiative.

INT: Okay. This is going to be the next question (inaudible word).

CP: Excuse me?

INT: This is going to be my next question anyhow: Who are your direct reports?

CP: Oh, okay. Well, I am down to now, I think, I only have – spun off – one division went to another group, and we are selling one division. So, hopefully in another month I'll be down to six Division Presidents reporting to me. Okay?

List the competencies of Chris Pipers that you are able to identify.
Make a note of why you thought these competencies are important.

5.8. Do you want to know more

Recommended Reference Books

Arthur, W. Jr., Day, E. A., McNelly, T. L., & Edens, P. S. (2003). A meta-analysis of the criterion-related validity of assessment center dimensions. Personnel Psychology.

Barrick, M. R., & Mount, M. K. (1991). The Big Five personality dimensions and job performance: A meta-analysis. Personnel Psychology.

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Caldwell, C., Thornton, G. C., & Gruys, M. (2003). Ten classic assessment center errors: Challenges to selection validity. Public Personnel Management.

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Ones, D. S., Viswesvaran, C., & Schmidt, F. L. (1993). Comprehensive meta-analysis of integrity test validities: Findings and implications for personnel selection and theories of job performance. Journal of Applied Psychology.

Testing and Assessment: An Employer's Guide to Good Practices. (2000). Washington, DC: U.S. Department of Labor, Employment and Training Administration. Note: Article can be accessed at http://www.onetcenter.org/guides.html.

Appendix

APPENDIX 2
Facilitator Guide for Conducting Focus Group Discussions

Introduction

- A focus group is a specific group of individuals gathered together to provide input through a facilitated discussion around a particular role for the purpose of understanding it as fully as possible, and thus creating a behaviour-based competency model.

- A focus group is formally structured. It requires a minimum of 4 hours to complete all the necessary data gathering, discussion, and the steps of the process.

- Participants: An important step in conducting a focus group is to choose the most appropriate participants, including a minimum of six and no more than 15 people. A focus group includes knowledgeable people and stakeholders in project outcomes. Choose your participants according to the type of information you are seeking. The important thing is to consider the output you want and participants best suited to provide it. It's important to have participants that know the job well. Participants could include:
  - Jobholders – It is best to have as many outstanding as possible because they are the people who will give a lot of data
  - Managers (of the jobholders)
  - Direct reports of jobholders
  - Other knowledgeable people (e.g., HR or Organisational Development)
  - Determiners of strategic direction for the role holders

- Role holders and their managers have internal knowledge of what is required for outstanding job performance. Recipients of a role holder's actions (direct report, clients) provide insight into what performance outcomes should be from the client's perspective rather than from inside the organisation. The strategic determiners (usually executives) may be less aware of daily activities but may dictate a change in strategic direction that will have a profound impact on the nature of a given position.

- A focus group should ideally comprise a credible (representative or acceptable) sample and participants who are supportive of or open to project goals

- The purpose of a focus group is to collect information and gain effective participation from its members. Exclude individuals who will make achievement of these goals difficult. If some people are known to interfere with such meetings, do not include them in the focus group. If there are rival groups who would rather argue with each other than work together, do not include members from both groups in the same panel. An effective panel should contain participants who will provide good data in the short term and support the project in the long term.

Structure of the focus group

- The structure that we have designed for conducting focus group is below. It seeks to gain data on Key Accountabilities and Behaviours, for Outstanding and for Typical and, if needed, for the future of the role.

- Key Accountabilities: The few (3-5) most important outcomes, or contributions that are produced by the job.
- Behaviours: The specific behaviours shown by job incumbents (the 'how' as well as the 'what' is done in the job), similar to the behavioural evidence collected in a BEI.

• It is also important to determine if you should consider the 'future' of the role: Is it going to change dramatically in the future? How so? Why? Or is the role evolving to include elements not reflective of its current status?

Probing for behaviours in focus groups

In order to analyse data for evidence of competencies we must use probes to gather evidence of a competency. Behaviours reported must be specific and completed actions involving the participants. The following guidelines must be kept in mind when collecting evidence of behaviours:

• In the examples shared the more detail provided, the better.
• Encourage participants to use 'I' so that facilitators have a picture of their personal involvement.
• Avoid vague statements, in which the participants use nonspecific terms to describe the activity. Vague information does not provide the participant's motives, thoughts, and feelings.

Some of the probing questions that can be applied to probe for specific behaviours are as follows:

• What led up to the situation?
• Who was involved?
• What did you do?
• What happened first/next?
• What did you say?
• How were you feeling then?
• What were you thinking then?

APPENDIX 3

Application of Assessment Tools

Following is a list of competency assessment tools along with their application. This list is indicative only. Once the Competencies for the jobs have been identified, these tools could be used for assessing the competencies of the job-holders and identifying the gaps. (Please refer to Section 5.6 for more details)

Table 1:
Application of Assessment Tools to Personal Development, Team Effectiveness, Coaching and Leadership Development

S. No.	Surveys/Tools	Personal Development	Team Effectiveness	Coaching	Leaderships Development
1	Inventory of leadership Styles (ILS)	*		*	*
2	Organisational Climate Survey (OCS)				*
3	Managerial Style Workbook (MSW)	*		*	*
4	Organisational Climate Workbook (OCW)				*
5	Leadership Styles and Organisational Climate E-learning Modules				*
6	Growth Factor Inventory (GFI)				*
7	Picture Story Exercise (PSE)	*			*
8	Personal Values Questionnaire (PVQ)	*		*	*
9	Influence Strategies Exercise (ISE)	*		*	*
10	Optimising Team Development (OTD)		*		
11	Coaching Process Questionnaire (CPQ)	*		*	*
12	Kolb Learning Style Inventory 3.1 (LSI)	*	*		*
13	Kolb Team Learning Experience (TLE)	*	*		
14	Kolb Learning Style Exercise–Stuck Truck (LSE)		*		
15	Boyatzis-Kolb Learning Skills Profile (LSP)	*			
16	Emotional and Social Competency Inventory (ESCI)	*		*	*
17	Emotional and Social Competency Inventory–University edition (ESCI-U)	*		*	*
18	Emotional Intelligence E-learning Module	*		*	*
19	EI Workbook	*		*	*
20	EI Card Deck	*		*	*
21	Executive Competency Portfolio (ECP)	*			*
22	Manager Portfolio (MP)	*			*
23	Sales Manager Portfolio (SMP)	*			*
24	Sales Portfolio (SP)	*			*
25	Leadership Fundamentals Portfolio (LFP)	*			*
26	Competency Behaviour Inventory (CBI)	*			*
27	Customized 360° Assessment Tools	*			*
28	Resilience Workbook	*	*		*
29	Talent Q Dimensions and Elements				

Table 2:
Application of Assessment Tools to Organisational Improvement, Career Development, Influence,
Conflict Management and Selection

S. No.	Surveys/Tools	Organisational Improvement	Career Development	Influence	Conflict Management	Selection
1	Inventory of Leadership Styles (ILS)	*		*	*	
2	Organisational Climate Survey (OCS)	*				
3	Managerial Style Workbook (MSW)	*		*	*	
4	Organisational Climate Workbook (OCW)	*				
5	Leadership Styles and Organisational Climate E-Learning Modules	*				
6	Growth Factor Inventory (GFI)	*	*			*
7	Picture Story Exercise (PSE)	*				
8	Personal Values Questionnaire (PVQ)		*	*		
9	Influence Strategies Exercise (ISE)			*		
10	Optimising Team Development (OTD)				*	
11	Coaching Process Questionnaire (CPQ)					
12	Kolb Learning Style Inventory 3.1 (LSI)		*	*	*	
13	Kolb Team Learning Experience (TLE)				*	
14	Kolb Learning Style Exercise–Stuck Truck (LSE)				*	
15	Boyatzis-Kolb Learning Skills Profile (LSP)		*			
16	Emotional and Social Competency Inventory (ESCI)	*			*	
17	Emotional and Social Competency Inventory–University Edition (ESCI-U)	*			*	
18	Emotional Intelligence E-Learning Module	*			*	
19	EI Workbook	*			*	
20	EI Card Deck	*			*	
21	Executive Competency Portfolio (ECP)	*		*		
22	Manager Portfolio (MP)	*		*		
23	Sales Manager Portfolio (SMP)	*		*		
24	Sales Portfolio (SP)	*		*		
25	Leadership Fundamentals Portfolio (LFP)	*		*		
26	Competency Behavior Inventory (CBI)	*		*		
27	Customized 360° Assessment Tools	*				
28	Resilience Workbook				*	
29	Talent Q Dimensions and Elements					*

DoPT Vision

"To create an enabling environment for the development and management of human resources of the Government for efficient, effective, accountable, responsive and transparent governance."

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