

# profile

OF AN EFFECTIVE DEPARTMENT

an organizational development  
tool for the united nations



Office of Human Resources Management  
DIVISION FOR ORGANIZATIONAL DEVELOPMENT



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## introduction

This profile identifies the key attributes of an effective department within the UN Secretariat. The profile has been developed to:

- Provide a framework for defining departmental performance that is shared across the organization.
- Assist departments in assessing their current level of effectiveness.
- Guide departments in developing their own capacity in order to increase their effectiveness.

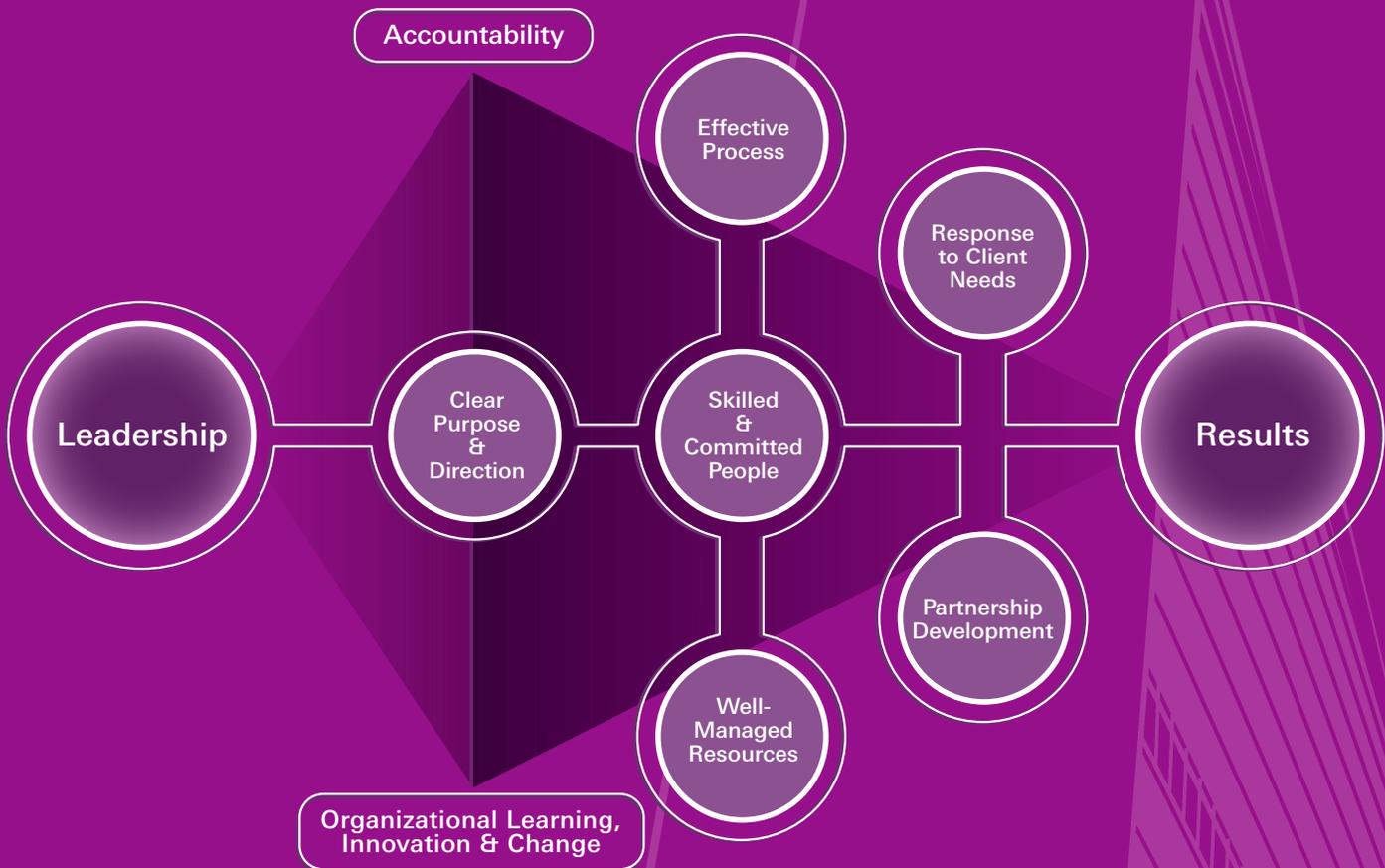
The profile is flexible, and can be applied to large and small departments, as well as to Regional Commissions, and Offices away from Headquarters.

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1. The term 'department' includes other significant organizational entities such as an Office or a Regional Commission

### model of departmental effectiveness

Departments differ greatly in terms of their mandate, their size and complexity, the cultural and geographic context in which they operate, and the nature of their activity. In spite of these differences, a number of performance elements, outlined below, are applicable to all departments.



## defining departmental effectiveness

The profile is based on the assumption that an effective department achieves key performance results at three levels.

- It delivers the planned outputs and services.
- It achieves the outcomes that meet the needs of its clients and stakeholders.
- It achieves a long-term impact.

## degrees of freedom

The profile takes into account what might be called departmental ‘degrees of freedom’. In other words, it has been designed with the understanding that each department operates within the context of the organization as a whole, and that governance structures and mechanisms, central policies and processes, as well as rules and regulations outside the department’s direct control do have a significant impact on its performance.

## how the profile can be used

The profile may be used by Heads of Department, managers and staff in the following ways:

- To identify those areas of departmental capacity that are strongest as well as those that need improvement.
- To measure changes in the department’s capacity over time.
- To act as a discussion tool to draw out different views within the department regarding its capacity, drawing out different perspectives that may exist between staff and managers, for example.

## assessment instruments and processes associated with the profile

A number of assessment instruments and processes, based on the profile, have been developed to assist departments in developing their capacity.

### **Organizational Effectiveness Indicator**

Chief among these instruments is the **Organizational Effectiveness Indicator**, an electronic staff survey designed to provide departments with an overview of their perceived level of effectiveness in all performance areas of the model. Following the participation of staff in the survey process, reports are produced presenting results both at the level of the department as a whole and at the level of significant work units, such as divisions or branches.

### **Interpretation Guide and OD Plan of Action**

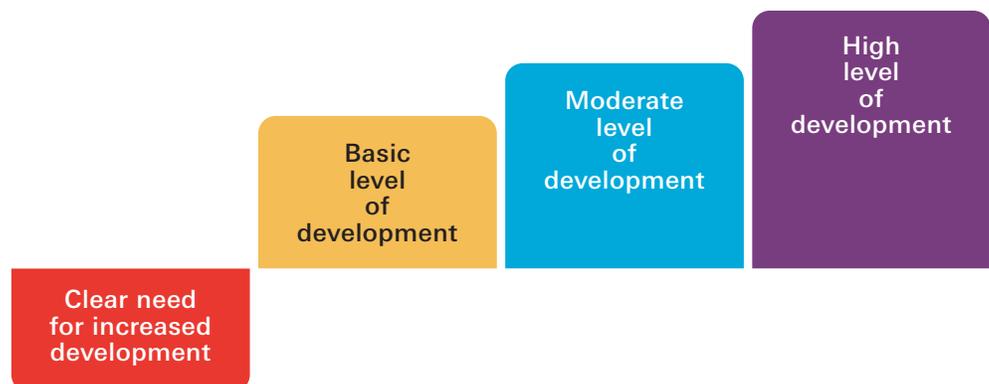
To assist departments in responding to the results of the **Organizational Effectiveness Indicator**, an Interpretation Guide and OD Plan of Action allow them to set specific targets for organizational development, and to identify appropriate actions to achieve those targets.

### **Assessment processes**

To supplement the survey process of the **Organizational Effectiveness Indicator**, a number of structured assessment processes have also been defined which allow a more in-depth assessment of various areas of departmental performance than is possible through the use of a survey instrument.

## levels of development

To assist departments in guiding their own development, four levels are identified in the profile. Each of these levels is associated with a number of tangible indicators, enabling department to assess both where they currently are, and to determine where they aspire to be.



On the following pages, each component of the model of departmental effectiveness is associated with a number of indicators associated with each of the above levels.

## leadership—head of department and/or senior management team



	Clear need for increased development	Basic level of development	Moderate level of development	High level of development
Head of department — passion and vision	<ul style="list-style-type: none"> <li>Does not communicate a clear vision for the future; fails to generate a shared understanding of where the department is going</li> </ul>	<ul style="list-style-type: none"> <li>Sets and communicates a sense of purpose and direction; aligns others around achieving the vision</li> </ul>	<ul style="list-style-type: none"> <li>Is constantly, visibly committed to the department and to achieving its vision; creates excitement and enthusiasm in others</li> </ul>	<ul style="list-style-type: none"> <li>Is contagiously energetic and highly committed; lives the department's vision; enables others to see how they can achieve the vision</li> </ul>
Head of department — leading change, creating alignment	<ul style="list-style-type: none"> <li>Is reluctant to change the status quo; mandates change but does not lead it; delays decision-making</li> </ul>	<ul style="list-style-type: none"> <li>Leads organizational change processes; promptly addresses issues that arise in the change process</li> </ul>	<ul style="list-style-type: none"> <li>Develops and implements actions to overcome resistance to change; is able to move rapidly from decision to action; makes things happen</li> </ul>	<ul style="list-style-type: none"> <li>Communicates a compelling need for change; creates a sense of urgency; aligns the entire department to support the change effort</li> </ul>
Head of department — personal and interpersonal effectiveness	<ul style="list-style-type: none"> <li>Consistently fails to show respect for others; may be openly judgmental or critical; has difficulty influencing without using authority; has difficulty building trust</li> </ul>	<ul style="list-style-type: none"> <li>Earns the respect of others; takes time to build relationships; has presence; is able to influence and build support</li> </ul>	<ul style="list-style-type: none"> <li>Is respected and sought out by others for advice and counsel; has strong presence and leadership ability; uses multiple approaches to get buy-in</li> </ul>	<ul style="list-style-type: none"> <li>Is viewed as an outstanding 'people person'; inspires others and achieves impact; continually self-aware; actively works on personal learning and development</li> </ul>
senior management team — ethics	<ul style="list-style-type: none"> <li>Fails to provide ethical and transparent leadership; tolerates inappropriate political influence in decision making and staff appointments; turns a blind eye to ethical and performance issues</li> </ul>	<ul style="list-style-type: none"> <li>Rejects inappropriate political influence in decision making and staff appointments; addresses ethical and performance issues</li> </ul>	<ul style="list-style-type: none"> <li>Consistently makes transparent and ethical decisions</li> </ul>	<ul style="list-style-type: none"> <li>Is respected for its transparency and integrity</li> </ul>
Senior management team — use of authority	<ul style="list-style-type: none"> <li>Centralizes power and decision-making; reserves the right to make decisions which should be made at a lower level; micromanages and over-controls; creates a culture of fear</li> </ul>	<ul style="list-style-type: none"> <li>Delegates authority and responsibility; holds itself and others accountable; makes tough decisions as required</li> </ul>	<ul style="list-style-type: none"> <li>Encourages leadership at all levels; builds a culture of learning</li> </ul>	<ul style="list-style-type: none"> <li>Builds a culture of empowerment and participation</li> </ul>
Senior management team — cohesion and teamwork	<ul style="list-style-type: none"> <li>Centralizes power and decision-making; reserves the right to make decisions which should be made at a lower level; micromanages and over-controls; creates a culture of fear</li> </ul>	<ul style="list-style-type: none"> <li>Encourages co-operation on a project/program basis</li> </ul>	<ul style="list-style-type: none"> <li>Builds a sense of coherence and a shared vision on a project/program basis</li> </ul>	<ul style="list-style-type: none"> <li>Promotes interdependence and the achievement of overarching goals and objectives</li> </ul>





## Clear purpose and direction

	Clear need for increased development	Basic level of development	Moderate level of development	High level of development
<b>Vision</b>	<ul style="list-style-type: none"> <li>■ Little shared understanding of what the department aspires to become or achieve; contradicting/conflicting ideas of what the department should be doing</li> </ul>	<ul style="list-style-type: none"> <li>■ Somewhat clear understanding of what the department seeks to achieve; lacks specificity or clarity; held by only a few; exists on paper, but is rarely used to direct actions or set priorities</li> </ul>	<ul style="list-style-type: none"> <li>■ Clear and specific understanding of what the department seeks to become or achieve; held by many in the department; often used to direct action and set priorities</li> </ul>	<ul style="list-style-type: none"> <li>■ Clear, specific and compelling understanding of what the department aspires to become or achieve; broadly held and consistently used to direct action and set priorities</li> </ul>
<b>Overall strategy</b>	<ul style="list-style-type: none"> <li>■ Strategy is either nonexistent, unclear or incoherent (largely a set of scattered initiatives); strategy has no influence of day-to-day behaviour</li> </ul>	<ul style="list-style-type: none"> <li>■ Strategy exists but is not linked to vision; strategy is not easily actionable; strategy is not broadly known</li> </ul>	<ul style="list-style-type: none"> <li>■ Coherent strategy has been developed and is linked to mission and vision; day-to-day behaviour is partly driven by it</li> </ul>	<ul style="list-style-type: none"> <li>■ A clear, coherent medium-and long-term strategy exists; strategy is actionable and is linked to mission, vision and overarching goals; strategy consistently drives day-to-day decisions</li> </ul>
<b>Goals/performance targets</b>	<ul style="list-style-type: none"> <li>■ Targets are non-existent or few; targets are vague or confusing; targets are too easy or impossible to achieve; targets change from year to year, unrelated to strategy; targets are unknown or ignored by staff</li> </ul>	<ul style="list-style-type: none"> <li>■ Realistic targets exist in some areas; targets may lack ambition or be short-term; targets are often renegotiated; staff may or may not know and adopt targets</li> </ul>	<ul style="list-style-type: none"> <li>■ Quantified, ambitious targets exist in most areas; targets are known and adopted by most staff who usually use them to broadly guide their work</li> </ul>	<ul style="list-style-type: none"> <li>■ Limited set of quantified, genuinely demanding performance targets in all areas; tightly linked to strategy; staff consistently adopt targets and work diligently to achieve them</li> </ul>
<b>Program and service relevance</b>	<ul style="list-style-type: none"> <li>■ Programs and services seem scattered and unrelated to each other; no determination to discontinue programs which are no longer relevant</li> </ul>	<ul style="list-style-type: none"> <li>■ Most programs and services are well defined and can be linked with the mission and goals; programs somewhat scattered and not fully integrated into a clear strategy; existing programs are continued without questioning their relevance</li> </ul>	<ul style="list-style-type: none"> <li>■ Core programs and services are well defined and aligned with the mission and goals; programs fit together well as part of a clear strategy; programs with limited or no relevance are questioned</li> </ul>	<ul style="list-style-type: none"> <li>■ All programs and services are well defined and fully aligned with the mission and goals; synergies across programs are captured</li> </ul>



## Responsiveness to client and stakeholder needs



	Clear need for increased development	Basic level of development	Moderate level of development	High level of development
<b>Needs identification and feedback</b>	<ul style="list-style-type: none"> <li>Little or no identification of client needs and expectations; feedback is not sought; department operates on the assumption that it knows what its stakeholders expect without asking them</li> </ul>	<ul style="list-style-type: none"> <li>Some attempt to identify client needs and seek feedback through occasional surveys or other data gathering means</li> </ul>	<ul style="list-style-type: none"> <li>Regular identification of client needs and expectations using a variety of methodologies; feedback is sought and listened to; the department is not afraid of criticism</li> </ul>	<ul style="list-style-type: none"> <li>Continual assessment of client needs and satisfaction; processes and procedures are adapted to meet the needs of clients and stakeholders</li> </ul>
<b>New program and service development/ adjustment of existing programs and services</b>	<ul style="list-style-type: none"> <li>No assessment of gaps in ability of current program or service to meet client/stakeholder needs; limited ability to create new programs or respond in new ways; new programs created largely in response to funding availability</li> </ul>	<ul style="list-style-type: none"> <li>Limited assessment of ability of current program or service to meet client/stakeholder needs; some ability to modify/discontinue existing programs and create new ones</li> </ul>	<ul style="list-style-type: none"> <li>Occasional assessment of ability of existing programs or services to meet client/stakeholder needs; demonstrated ability to modify and fine-tune existing programs or create new programs</li> </ul>	<ul style="list-style-type: none"> <li>Continual assessment of ability of existing programs or services to meet client/stakeholder needs; ability to create truly innovative programs and services</li> </ul>
<b>Benchmarking/ adoption of 'best practice'</b>	<ul style="list-style-type: none"> <li>Minimal interest in or knowledge of other players and alternative models for program or service delivery</li> </ul>	<ul style="list-style-type: none"> <li>Basic knowledge of players and alternative models for program and service delivery; limited ability to adapt program or service delivery based on acquired understanding</li> </ul>	<ul style="list-style-type: none"> <li>Solid knowledge of players and alternative models in program and service delivery; identification of benchmarks and standards for delivery; not always met</li> </ul>	<ul style="list-style-type: none"> <li>Benchmarks and performance standards are set in accordance with identified 'best practice' in program or service delivery; ability of department to meet standards is monitored regularly</li> </ul>
<b>Communication and information flow</b>	<ul style="list-style-type: none"> <li>Communication and information flow to clients and stakeholders is primarily 'reactive', only as required; often significantly delayed</li> </ul>	<ul style="list-style-type: none"> <li>Communication and information flow is proactive in some cases, reactive in others</li> </ul>	<ul style="list-style-type: none"> <li>Periodic information updates provided to clients; communication is proactive rather than reactive</li> </ul>	<ul style="list-style-type: none"> <li>Constant flow of information to clients, keeping them informed of progress or setbacks</li> </ul>



**Partnership development/external relationship building**

	<b>Clear need for increased development</b>	<b>Basic level of development</b>	<b>Moderate level of development</b>	<b>High level of development</b>
<b>Partnerships and alliances</b>	<ul style="list-style-type: none"> <li>Limited use of partnerships and alliances; department believes in its own uniqueness</li> </ul>	<ul style="list-style-type: none"> <li>Early stages of building relationships and collaborating with other departments, UN agencies, NGOs and civil society</li> </ul>	<ul style="list-style-type: none"> <li>Effective relationships with some relevant partners; some relationships may be precarious or are not fully win-win</li> </ul>	<ul style="list-style-type: none"> <li>Strong, high-impact relationships with a variety of relevant parties; relationships are stable, long-term and mutually beneficial</li> </ul>
<b>Department's credibility and reputation</b>	<ul style="list-style-type: none"> <li>Department's has little credibility inside the organization or outside of it</li> </ul>	<ul style="list-style-type: none"> <li>Department credibility is somewhat established, and generally regarded as positive within the larger community;</li> </ul>	<ul style="list-style-type: none"> <li>Department reasonably well known within the larger community and positively perceived inside the organization</li> </ul>	<ul style="list-style-type: none"> <li>Department widely known within the larger community and very positively perceived</li> </ul>
<b>Influencing of policy making</b>	<ul style="list-style-type: none"> <li>Department does not have the ability or is unaware of possibilities for influencing policy-making; never called on in substantive policy discussions</li> </ul>	<ul style="list-style-type: none"> <li>Department is aware of its possibilities to influence policy-making; some readiness and skill in participating in policy discussions; rarely invited to substantive policy discussions</li> </ul>	<ul style="list-style-type: none"> <li>Department is fully aware of its possibilities to influence policy-making; is active in policy discussions at various levels</li> </ul>	<ul style="list-style-type: none"> <li>Department pro-actively and reactively influences policy-making, in a highly effective manner on several levels; often called on to participate in substantive policy discussions</li> </ul>
<b>Public relations and marketing</b>	<ul style="list-style-type: none"> <li>Department makes no or limited use of PR/marketing; sees little need or value for PR/marketing, and has no development to engage in it</li> </ul>	<ul style="list-style-type: none"> <li>Department takes opportunities to engage in PR/marketing as they arise; some internal skills and experience available</li> </ul>	<ul style="list-style-type: none"> <li>Department considers PR/marketing to be useful and actively seeks opportunities to engage in these activities; critical mass of internal expertise exists</li> </ul>	<ul style="list-style-type: none"> <li>Department continually and actively engages in PR; broad pool of PR expertise exists internally, or efficient use is made of external resources</li> </ul>

## Skilled and committed people



	Clear need for increased development	Basic level of development	Moderate level of development	High level of development
<b>Human resources planning</b>	<ul style="list-style-type: none"> <li>■ Lack of HR planning; HR planning limited to meeting gender and geographic requirements set by OHRM</li> </ul>	<ul style="list-style-type: none"> <li>■ Some efforts at development of an HR plan; HR plan loosely or not linked to departmental vision or strategy; plan has some impact on HR activities</li> </ul>	<ul style="list-style-type: none"> <li>■ HR planning carried out regularly; plan linked to departmental strategy and goals; plan is used to guide HR activities</li> </ul>	<ul style="list-style-type: none"> <li>■ Department has a concrete, realistic, and detailed HR plan; HR planning exercise carried out regularly; plan is tightly linked to departmental strategy and systematically used to direct HR activities</li> </ul>
<b>Implementation of organization-wide HR policies and programs and departmental HR targets</b>	<ul style="list-style-type: none"> <li>■ Organization-wide HR policies and programs are flagrantly ignored; departmental HR targets are not met</li> </ul>	<ul style="list-style-type: none"> <li>■ Lip service is paid to organization-wide programs; departmental HR targets are pursued</li> </ul>	<ul style="list-style-type: none"> <li>■ Organization-wide policies and programs are implemented; departmental HR targets are met</li> </ul>	<ul style="list-style-type: none"> <li>■ Organization-wide policies and programs are openly supported; departmental HR targets are exceeded</li> </ul>
<b>Effective use of staff resources</b>	<ul style="list-style-type: none"> <li>■ 20% of the staff perform 80% of the work; many staff are marginalized or grossly under-utilized</li> </ul>	<ul style="list-style-type: none"> <li>■ The workload is reasonably distributed; no staff are marginalized</li> </ul>	<ul style="list-style-type: none"> <li>■ Workload is fairly distributed; all staff are expected to make a meaningful contribution</li> </ul>	<ul style="list-style-type: none"> <li>■ Workload is fairly distributed; staff who lack required competence are coached and supported</li> </ul>
<b>Learning and development</b>	<ul style="list-style-type: none"> <li>■ Staff are viewed in a static way, with little potential for development; limited training, coaching and feedback; no meaningful performance appraisal</li> </ul>	<ul style="list-style-type: none"> <li>■ Some training and other development opportunities exist for some staff; staff have a personal learning and development plan</li> </ul>	<ul style="list-style-type: none"> <li>■ Relevant training, rotation, coaching/ feedback, and consistent performance appraisal are in place; department actively identified potential sources of new talent</li> </ul>	<ul style="list-style-type: none"> <li>■ Staff are encouraged to grow and develop through a variety of means; department takes an active interest in managerial development</li> </ul>
<b>Staff involvement</b>	<ul style="list-style-type: none"> <li>■ Large numbers of staff feel that they have no say; their opinions and input are not solicited</li> </ul>	<ul style="list-style-type: none"> <li>■ Many staff members feel that they are consulted on decisions that affect them</li> </ul>	<ul style="list-style-type: none"> <li>■ Most staff members are well informed, and feel consulted in decisions that affect them; they feel recognized and cared for</li> </ul>	<ul style="list-style-type: none"> <li>■ Staff at all levels feel empowered; they are informed and consulted; they have the authority to use their judgment and take action in their area of responsibility; staff at all levels are expected to assume leadership roles</li> </ul>
<b>Dialogue and communication</b>	<ul style="list-style-type: none"> <li>■ Key information can only be obtained 'through the grapevine' or in the corridor; fear and mistrust exists; people do not feel that they can raise important issues</li> </ul>	<ul style="list-style-type: none"> <li>■ Information is generally shared; some attempts are made to discuss difficult issues and problems; attempts are made to resolve conflicts</li> </ul>	<ul style="list-style-type: none"> <li>■ Open communication and sharing of information exists at all levels; difficult issues and problems are discussed in an open way; conflicts are openly addressed</li> </ul>	<ul style="list-style-type: none"> <li>■ Open and authentic dialogue is the norm; there is a climate of trust; tough issues are tackled</li> </ul>





## Effective processes and systems

	<b>Clear need for increased development</b>	<b>Basic level of development</b>	<b>Moderate level of development</b>	<b>High level of development</b>
<b>Planning—strategic</b>	<ul style="list-style-type: none"> <li>Limited ability and attempts to develop a strategic plan; either internally or with assistance; if a strategic plan exists, it is not used</li> </ul>	<ul style="list-style-type: none"> <li>Some ability and tendency to develop a high-level strategic plan; strategic plan roughly directs management decisions</li> </ul>	<ul style="list-style-type: none"> <li>Strategic planning carried out regularly; plan is used to guide management decisions; some internal planning expertise exists or use is made of external expertise</li> </ul>	<ul style="list-style-type: none"> <li>Strategic planning carried out regularly; plan is used extensively to guide management decisions; planning is carried out using internal or external expertise</li> </ul>
<b>Planning—financial</b>	<ul style="list-style-type: none"> <li>No or very limited financial planning; general budget developed; performance against budget loosely monitored</li> </ul>	<ul style="list-style-type: none"> <li>Limited financial plans, ad hoc update; budget utilized as an operational tool; performance-to-budget monitored periodically</li> </ul>	<ul style="list-style-type: none"> <li>Solid financial plans; regularly updated; budget integrated into operations; performance-to-budget monitored regularly</li> </ul>	<ul style="list-style-type: none"> <li>Very solid financial plans; continuously updated; budget integrated fully into operations; used as a strategic tool; performance-to-budget closely and regularly monitored</li> </ul>
<b>Planning—operational</b>	<ul style="list-style-type: none"> <li>Constant crisis mode prevails, with no clear direction or focus; no short-term or long-term plan; planning is treated as a perfunctory exercise to satisfy bureaucratic requirements</li> </ul>	<ul style="list-style-type: none"> <li>Operational planning loosely linked to strategic planning and used roughly to guide operations</li> </ul>	<ul style="list-style-type: none"> <li>Robust operational planning processes exist which result in the identification of meaningful and measurable results; goals and objectives are linked and cascaded throughout the organization</li> </ul>	<ul style="list-style-type: none"> <li>Operational planning is tightly linked to strategic planning and systematically used to direct operations;</li> </ul>
<b>Work processes/standard operating procedures</b>	<ul style="list-style-type: none"> <li>Limited set of agreed-to processes (e.g. information sharing, reviews) available; use of processes/procedures is variable or flagrantly ignored</li> </ul>	<ul style="list-style-type: none"> <li>A basic set of processes and user-friendly management tools is available; limited monitoring and assessment of processes, resulting in few improvements</li> </ul>	<ul style="list-style-type: none"> <li>Solid, well-designed processes in place in core areas to ensure smooth, effective functioning of the department; processes/procedures are known and accepted by many; contribute to increased impact; occasional monitoring and assessment of processes, with some improvements made</li> </ul>	<ul style="list-style-type: none"> <li>The department is managed in a highly professional manner; robust, lean and well-designed processes in place in all area; processes/procedures are widely known, used and accepted; monitoring is systematic and improvements are made</li> </ul>
<b>Decision making framework</b>	<ul style="list-style-type: none"> <li>Decisions made largely on an ad hoc basis by one person and/or whoever is accessible</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate decision makers known; decision making process fairly well established and process is generally followed but sometimes breaks down</li> </ul>	<ul style="list-style-type: none"> <li>Clear, largely formal lines/systems for decision making; decisions are generally appropriately implemented or followed</li> </ul>	<ul style="list-style-type: none"> <li>Clear, formal lines/systems for decision making that involve as broad a participation as practical and appropriate; decisions always implemented</li> </ul>
<b>Inter-functional/inter-divisional coordination</b>	<ul style="list-style-type: none"> <li>Different programs and organizational units function in silos; little or dysfunctional coordination between them</li> </ul>	<ul style="list-style-type: none"> <li>Interactions between different programs and units are generally good, although coordination issues do exist; some pooling of resources</li> </ul>	<ul style="list-style-type: none"> <li>All programs and units function together effectively with sharing of information and resources; few coordination issues</li> </ul>	<ul style="list-style-type: none"> <li>Constant and seamless integration between different programs and organizational units with few coordination issues; relationships are dictated by organizational needs (rather than hierarchy or politics)</li> </ul>
<b>Organizational and job design</b>	<ul style="list-style-type: none"> <li>Jobs and organizational units are not designed, or are created to accommodate individuals; roles and responsibilities are not clear</li> </ul>	<ul style="list-style-type: none"> <li>Some organizational entities are clearly defined, others are not; most roles and responsibilities of organizational entities and jobs are defined, but may not reflect reality; organizational charts and job descriptions may be outdated</li> </ul>	<ul style="list-style-type: none"> <li>Organizational entities and jobs are clearly defined; all roles and responsibilities of organizational entities and of jobs are defined but do not necessarily reflect realities; charts and job descriptions may be outdated</li> </ul>	<ul style="list-style-type: none"> <li>Roles and responsibilities of organizational entities and job are formalized and clear; organization charts and job descriptions are complete and reflect current reality</li> </ul>



## Well managed resources



	Clear need for increased development	Basic level of development	Moderate level of development	High level of development
<b>Financial resources</b>	<ul style="list-style-type: none"> <li>Basic financial transactions are carried out; bills are paid, not always paid on time; supporting documentation is kept on record</li> </ul>	<ul style="list-style-type: none"> <li>Financial activities are transparent, clearly and consistently recorded and documented; appropriate checks and balances exist</li> </ul>	<ul style="list-style-type: none"> <li>Formal internal controls governing all financial operations; fully tracked, supported and reported</li> </ul>	<ul style="list-style-type: none"> <li>Robust systems and controls are in place governing all financial operations and their integration with budgeting, decision-making and organizational goals</li> </ul>
<b>Physical infrastructure (buildings and office space)</b>	<ul style="list-style-type: none"> <li>Inadequate physical infrastructure, resulting in loss of effectiveness and efficiency (e.g. insufficient workspace for individuals, no space for teamwork)</li> </ul>	<ul style="list-style-type: none"> <li>Physical infrastructure can be made to work well enough to suit the department's most important needs; a number of improvements would greatly help effectiveness and efficiency</li> </ul>	<ul style="list-style-type: none"> <li>Fully adequate infrastructure for the current needs of the department; infrastructure does not interfere with effectiveness and efficiency</li> </ul>	<ul style="list-style-type: none"> <li>Physical infrastructure well designed to the department's current and future needs; well designed and thought out to enhance efficiency and effectiveness</li> </ul>
<b>Technological infrastructure—information technology (phones, computer, fax, etc.)</b>	<ul style="list-style-type: none"> <li>Poor condition or limited number of computers and other information technology is an impediment to effectiveness and efficiency; limited use of computers or other technology in day-to-day activity</li> </ul>	<ul style="list-style-type: none"> <li>Adequate information technology available to most staff; may lack certain features that would be helpful; information technology is used to support internal communication and information</li> </ul>	<ul style="list-style-type: none"> <li>A strategy for managing technology in support of departmental policy is in place; solid hardware and software infrastructure accessible to all staff; limited sharing of equipment; high usage of IT infrastructure by staff; alternative and emerging technology is used to its full potential</li> </ul>	<ul style="list-style-type: none"> <li>Technology is used to support and improve the performance of the department; state-of-the-art fully networked computing hardware with comprehensive range of up-to-date software applications; all staff have individual computer access and email; used regularly</li> </ul>
<b>Knowledge management</b>	<ul style="list-style-type: none"> <li>No formal systems to capture and document internal knowledge</li> </ul>	<ul style="list-style-type: none"> <li>Systems exist in a few areas but are not user-friendly or comprehensive enough to have an impact; systems are known only by a few people, or only occasionally used</li> </ul>	<ul style="list-style-type: none"> <li>A strategy for managing information and knowledge is in place; well-designed, user-friendly systems in some areas; not fully comprehensive; systems are known by many people within the department and often used</li> </ul>	<ul style="list-style-type: none"> <li>Well-designed, user-friendly, comprehensive systems to capture, document, and disseminate knowledge internally in all relevant areas; all staff are aware of systems, knowledgeable in their use, and make frequent use of them</li> </ul>



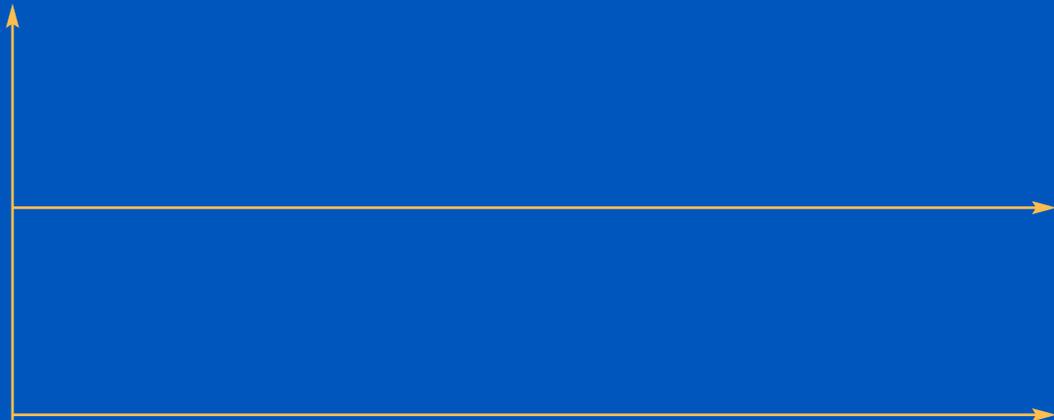
## Organizational learning, innovation and change

	Clear need for increased development	Basic level of development	Moderate level of development	High level of development
Organizational learning	<ul style="list-style-type: none"> <li>Organizational defenses exist, blocking the possibility of learning; group think prevails; senior managers are not informed about problems, including problems in their own behaviour; organizational defenses exist</li> </ul>	<ul style="list-style-type: none"> <li>Some willingness exists to identify 'lessons learned'; committees and task forces are created to address problems, sometimes to defer addressing problems</li> </ul>	<ul style="list-style-type: none"> <li>'Lessons learned' is a standard process in all areas of the department; 'after action' reviews take place; peer-to-peer consulting exists</li> </ul>	<ul style="list-style-type: none"> <li>Department-wide dialogue /system-wide dialogue takes place; the department builds and associates itself with internal and external 'communities of practice'</li> </ul>
Innovation and change	<ul style="list-style-type: none"> <li>The status quo is adhered to; ineffective systems and processes are perpetuated without question</li> </ul>	<ul style="list-style-type: none"> <li>Products, outputs and processes are improved; incremental changes occur, although not necessarily in a systematic way</li> </ul>	<ul style="list-style-type: none"> <li>Dissatisfaction exists with the status quo; there is a constant drive for innovation and change</li> </ul>	<ul style="list-style-type: none"> <li>The department anticipates changes in its external environment and pro-actively makes changes; opportunities for breakthrough changes are identified and treated as priority</li> </ul>
System-wide change	<ul style="list-style-type: none"> <li>There is no concern for change beyond the boundaries of the department; the departments has a 'silo' mentality</li> </ul>	<ul style="list-style-type: none"> <li>Some interest exists in system-wide change although there is no systematic support for it</li> </ul>	<ul style="list-style-type: none"> <li>System-wide changes are identified and advocated</li> </ul>	<ul style="list-style-type: none"> <li>Coalitions are created to bring about system-wide change</li> </ul>

## Accountability and organizational performance management

	Clear need for increased development	Basic level of development	Moderate level of development	High level of development
<b>Performance as a shared value</b>	<ul style="list-style-type: none"> <li>■ Staff are hired, rewarded and promoted for no clear reason; geographical and/or gender targets are applied without reference to merit; decisions are made on the basis of personal affinity/favoritism, or 'gut feeling'</li> </ul>	<ul style="list-style-type: none"> <li>■ Individual performance data is used to make decisions about hiring, rewarding or promoting staff; contribution to the achievement of broader organizational goals is occasionally considered</li> </ul>	<ul style="list-style-type: none"> <li>■ Staff contribution to achievement of important results is the key criterion for reward or promotion decisions</li> </ul>	<ul style="list-style-type: none"> <li>■ Day-to-day processes and decision making are embedded in comprehensive performance thinking; performance is constantly referred to</li> </ul>
<b>Performance measurement</b>	<ul style="list-style-type: none"> <li>■ Very limited measurement and tracking of performance; department collects some data on program activities and outputs but has no impact measurement (measurement of outcomes)</li> </ul>	<ul style="list-style-type: none"> <li>■ Performance partially measured and progress partially tracked; department regularly collects solid data on program activities and outputs, but lacks data-driven impact measurement</li> </ul>	<ul style="list-style-type: none"> <li>■ Performance measured and progress tracked in multiple ways; multiplicity of performance indicators; impact is measured</li> </ul>	<ul style="list-style-type: none"> <li>■ Well-developed, integrated system used for measuring department's performance and progress on a continual basis</li> </ul>
<b>Accountability—personal and managerial conduct</b>	<ul style="list-style-type: none"> <li>■ Accountability standards do not exist for individual staff; accountability is expected of some but not of others; there are no consequences associated with a lack of accountability or poor performance</li> </ul>	<ul style="list-style-type: none"> <li>■ Accountability standards exist for professional behaviour and managerial behaviour, but are not always enforced or monitored</li> </ul>	<ul style="list-style-type: none"> <li>■ Accountability standards exist for personal behaviour, in accordance with the organization's values, and are enforced and monitored</li> </ul>	<ul style="list-style-type: none"> <li>■ Accountability standards exist and are consistently and universally applied; lack of accountability is addressed in a systematic way; open book management is the norm</li> </ul>
<b>Accountability—organizational</b>	<ul style="list-style-type: none"> <li>■ Responsibility and accountability are unclear, including at senior levels; lack of accountability is not addressed</li> </ul>	<ul style="list-style-type: none"> <li>■ Some clarity exists around responsibility and accountability; lack of accountability is not always addressed</li> </ul>	<ul style="list-style-type: none"> <li>■ Responsibility and accountability are clearly defined; lack of accountability is generally addressed</li> </ul>	<ul style="list-style-type: none"> <li>■ Clear delegation and accountability frameworks exist; lack of accountability is addressed in a systematic way</li> </ul>





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