HR Audit Manual

2024

Version 3

ROYAL CIVIL SERVICE COMMISSION

EXCELLENCE IN SERVICE

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Introduction

The HR Audit is conducted in accordance with Section 27 (g) of the Civil Service Act of Bhutan 2010 which states that, "The Royal Civil Service Commission as the Central Personnel Agency of the Government shall conduct periodic HR auditing across all agencies." The main objective is to ensure compliance and uniform application of provisions of the CSAB 2010 and BCSR across the Civil Service and also to ensure effective and efficient utilization of civil servants.

The first HR auditing exercise was conducted in 2013 covering all areas of decentralized HR actions across the Civil Service from May 2011 onwards from the date CSAB 2010 was enacted. The HRAD carry out HR Auditing once in every two years across Agencies.

The HR Audit manual shall serve as a guideline for HR Officers to carry out HR auditing and it consists of step by step processes, formats to collect master data, report template, checklist and strategic HR audit methodology.

Two types of HR auditing is carried out viz Compliance HR Audit and Strategic HR Audit. Compliance HR Audit is carried out to ensure uniform application of Rules and Regulations as per BCSR and Civil Service Act of Bhutan 2010 for all the decentralized HR actions. The auditing exercise identifies gaps, limitations and recommends appropriate interventions as and when required. In addition, good HR practices of the Agency if any are also highlighted along with the unsettled benefit.

As part of Strategic HR Audit, Agency Quality Assessment Framework (AQAF) is introduced. AQAF is a self-assessment tool that enables employees and managers to jointly evaluate and self-assess their own organization and define its strengths, improvement areas and improvement actions. It consists of enablers and results. An internal team known as the work implementation team is trained on usage of AQAF tools by RCSC. The work implementation team carries out individual assessment, then identifies the strength, improvement areas and improvement actions of the agency.

Objectives
i.   The HR Audit manual is a guide for the HR Audit Division to carry out HR Auditing in the Ministries/Agencies/Dzongkhags.
ii.   The manual documents the step by step process and the functioning of the Human Resource Audit Division. It shall also be utilized for the purpose of training the new HR Officers.
iii.   A document that will serve as an institutional memory

HR Audit Policy

i. Promote organizational excellence, enhance service delivery, and embed the culture for continuous improvement in the Civil Service.

ii. Ensure compliance and uniform application of the CSAB 2010, BCSR and other relevant laws across the Civil Service.

iii. Ensure compliance to HR standards and practices across all the Civil Service Agencies.

iv. Enhance optimal use of human resources and streamline HR processes.

HR Audit Strategy

i. Carry out periodic HR Audit across all the Civil Service Agencies as per the HR Audit Manual.

ii. Build capacity of the HR personnel to minimize HR Audit observations and ensure professionalism in the conduct of HR Audit.

iii. Create awareness in the working agencies on significant and most recurring HR Audit observations

Role of HR Audit Team and Agency HRD

Sl. No.	ROLE OF HR AUDIT TEAM	ROLE OF AGENCY HRD/HRS
1	Conduct HR Audit without fear, favour or prejudice.	Provide free access to all information and records of Agencies that relate to HR management and to inspect and inquire into and call for any information arising from those accounts and records.
2	Be professional and observe Civil Service Values and Conduct	Keep all the necessary documents ready for auditing.
3	Inspect and inquire into and call for any information arising from those accounts and records.	Provide full cooperation and support to the auditing team during the conduct of HR audit

4	Present HR Audit findings to the Agency	Provide feedback to the management and the RCSC on the conduct of HR Audit.
5	Prepare an HR Audit report with recommendations for submission to the Commission.	Comply with HR audit findings and implement its recommendations.
6	Follow-up on HR Audit findings to ensure that audit recommendations are complied with and implemented	

Process of HR Auditing

Identify Agency as per the annual work-plan

Inform agency one month prior to auditing and appraise the focal commissiners

Courtesy call and conduct HR Audit

Draft Audit report and debrief Director/Head of the agency (2 weeks for justification)

Present Audit report to Commission with recommendations

Send the final report and communicate major observations

Follow up with the agency on HR action taken

COMPLIANCE HR AUDIT

RISK BASED COMPLIANCE HR AUDITING

Compliance HR Audit is carried out to ensure uniform application of Rules and Regulations as per BCSR and Civil Service Act of Bhutan 2010 for the decentralized HR actions. The auditing exercise identifies gaps, limitations and recommends appropriate interventions as and when required. In addition, good human resource practices of the Agency if any are also highlighted along with the unsettled benefits. The compliance HR auditing is based on risk based metrics.

The risked based compliance HR auditing is carried out with the objective to ensure resources and effort are devoted to key areas of audit that have significant impact on the performance of the organization and to assess the risks and recommend appropriate control measures. With the risk based approach, the HR actions for each Agency will be categorized as *High*, *Medium* and *Low* risk level and accordingly be audited for the past 3 years, 2 years and 1 year respectively. This minimizes the time invested to carry out compliance audits of the Agency and enables the HR Audit Division to focus on strategic HR Auditing.

To assess the risk, the HRAD have developed a risk assessment framework and risk assessment tool. The risk based HR auditing has been approved by the 99th Commission meeting held on 6-Jul-2021.

RISK BASED AUDIT FRAMEWORK

Objective

1. To ensure resources and effort are devoted to key areas of audit that have significant impact on the performance of the organization.

2. To assess the risks and recommend appropriate control measures.

RISK ASSESSMENT TOOL

Risk Assessment Matrix (8 factors)	Risk Level Matrix	Risk Register
Last Audit	High	Risk Area
Total No. of Observations		Risk Description
Complexity		Risk Owner
Finance	Medium	
Changes		Category of Risk
Sensitivity & impact to Individuals		Risk level
Operation Management Operation Mgt.	Low	
Controlled System		Audit Period
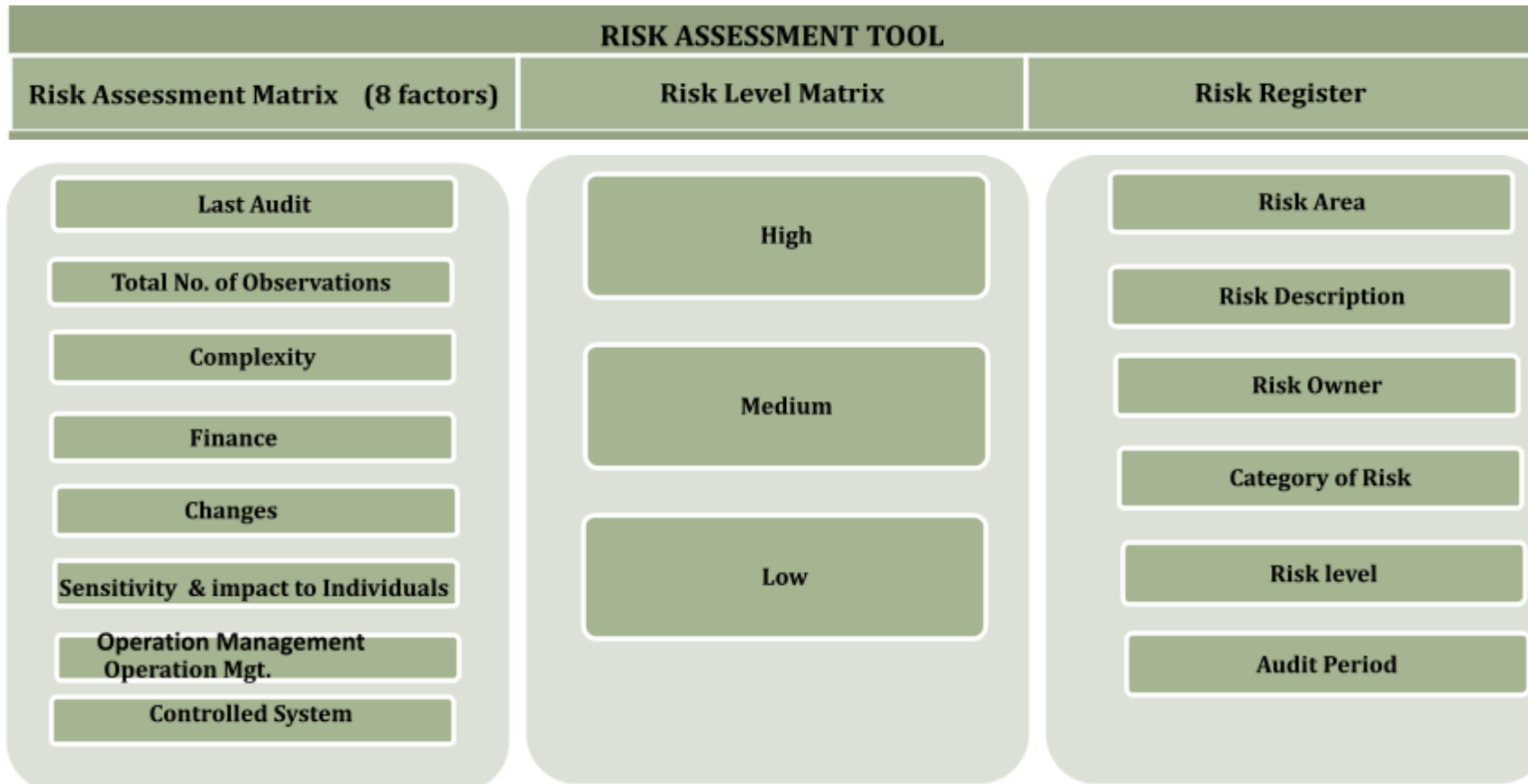
4. Risk Assessment Process
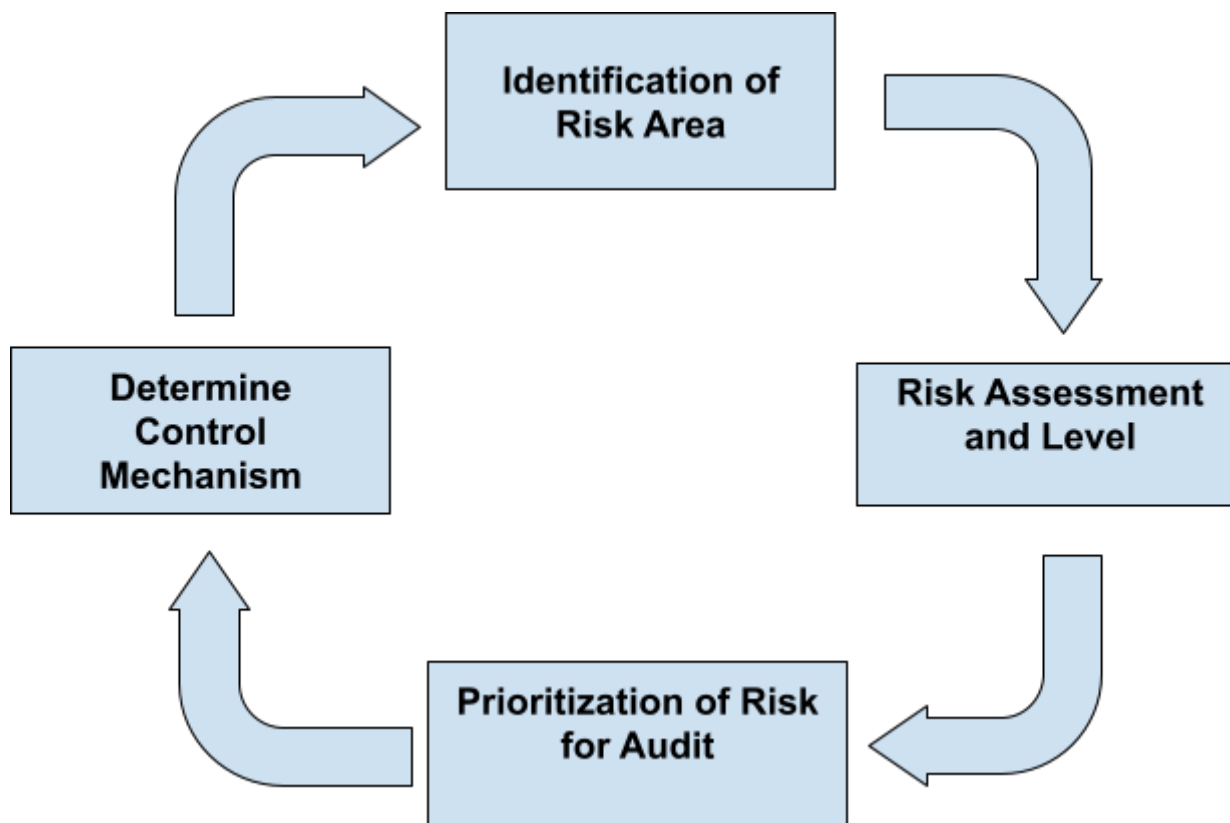
Risk Assessment Tool

A risk assessment tool was designed in consultation with the Central Coordination Agency and Royal Audit Authority. The tool is based on the COSO framework which has been customized. The risk assessment tool consists of the following three component:

- o   Risk Assessment Matrix *(Annexure 1)*
- o   Risk Level Matrix *(Annexure 2)*
- o   Risk Register *(Annexure 3)*

Audit Duration

Using the above tool, for each financial year based on the Agency to be audited the 11 HR actions will be assessed and categorized into the risk level of *High*, *Medium* and *Low*. In accordance with the risk, the various HR actions of the each Agency shall be audited as follows:

	Audit Duration
High	Past 3 years HR Actions
Medium	Past 2 years HR Actions
Low	Past 1 year HR Actions
Note:	

> 1. **HR Audit to be carried out once in every Risk Level *two years* in all the Agencies across civil service**

Methods and Approaches:

1. Identification of Risk

- As per the annual work plan, identify Agencies to be audited for each financial year.
- Identify risk through various sources like past HR audit reports, compiled hr audit observations of all the Agencies audited, Risk Register, Commission directives and Division recommendations.

2. Risk Assessment

- Using the risk assessment tool, all the Agencies identified to be audited for the new financial year are to be assessed.
- For each Agency, risks are assessed by 11 HR actions using a Risk Assessment Matrix *(Annexure 1)* and as the risk determinants are filled based on the 8 factors, the risk score and corresponding risk level will be auto-filled accordingly in the Risk Level Matrix *(Annexure 2)*.
- While assessing each HR action against the 8 risk factors, the definition of the risk factors and the determinants of the risk are to be taken into consideration.
- Based on the risk level of High, Low and Medium for HR actions, compliance hr auditing shall be carried out for the past 3 year, 2 years and 1 year respectively.
- Risk level of the each HR actions of agencies identified for the new financial year shall be entered in the risk register *(Annexure 3)*

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To Do List for Compliance Auditing

SI No.	List of Activities
	Checklist for Compliance report
1	Identify Agency as per the work-plan and inform 1 month prior (Standard letter folder)
2	Carry out Risk assessment using the RBA tool (If audit period is more than 2 years)
3	Appraise the focal Commissioner prior to auditing
4	Create folder for the phase (Overall consolidator), and upload latest templates for the report and checklist from Toolkits folder under HR Audit manual folder (Respective Focals)
5	Generate pre-requisite data from ZESt (as per the format in master Annexure and additional data of all civil servants for EOL, LTT, PME, Secondment and ML). This is for the purpose of remote auditing. (Overall consolidator to collect for all the agencies in that phase)
6	Obtain list of Drivers and vehicle number as per the format (Master list annexure) from the agency
7	Obtain signed Promotion summary sheets from the agency (Promotion summary to be filed in the agency folder and upload the promotion summary sheet in "Promotion Summary sheet" folder in HR Audit Documents)
8	**Ground work** - Clean the data as per the Audit period and Risk assessment - Merge the data with the latest checklist - Update EOL, LTT, PME and ML datas for system auditing of promotions. - Remote Auditing for Promotion, Transfer and Recruitment (ZRS). - For staff assessment, map the existing staff list from ZESt with the latest approved Staffing pattern/standard - For other HR actions, complete the work which can be done online from the office.
9	Agency Focal to Assign HR Areas to the team members
10	Courtesy call with Head of the agency and opening meeting with the HRD/HRS staff. (Within first 3 days of Auditing)
11	While auditing, assess implementation status of past major observations, upload refund receipt in DMS and update the status in HR Audit Module in ZESt.
12	Ensure that the to-do-list is updated before discussing the status of audit with Offtg, HRAD
13	Update Chief/Offtg, HRAD on the observation and status of auditing once, before completion of the Auditing (in between)

14	**Draft report:** 1. Insert correct audit period and date of audit (Refer summary of the Agency Audited google sheet in HR Audit Documents on google drive) 2. From the working sheet and To-Do List of HR actions, insert the observations/findings in the compliance report. Italicize the EID Nos. and CID Nos. during the write up on the observation. 3. Cite relevant BCSR clause wherever necessary & italicize the clause 4. For STT gap not maintained, check for repeated offenders (Past reports) 5. Insert correct observation nos. and accordingly categorize the type of observation (minor/major) 6. Prepare Annexures for Staffing and observations from the working sheet and number correctly 7. Ensure to repeat titles for Annexure if there are more than a page. Italicize the annexure numbers. 8. Update cover page/Separators 9. Update Summary of the observation 10. Proofread by the focal person and team 11. Use font type: Calibri; Font size 12: Space 1.15 12. Insert Page number 13. Spell & grammar check
15	Keep a copy of evidence for major observations and STT observation
16	Share the draft report to Chief/Offtg for review.
17	Update the Audit period and Audit duration in Google Drive-HR Audit Document folder-Summaries for Agencies Audited)
18	Present the report to HRD/HRS and head of the agency during the exit meeting
19	Convert the report to PDF and merge Compliance with strategic report
20	Email a copy of the report (PDF format merged) to HRO/Admin. Asst. for necessary actions (In PDF format, with forwarding letter -use the pre-signed standard letter, generate dispatch number online)
21	Print a copy of the forwarding file under the respective agency folder.
22	Create a final HR Audit Report from the draft copy on the google drive.
23	2 weeks time for forwarding letter with justification from the Agency. Check for HRC Meeting No. and date. For any extension, discuss with Chief/Offtg, HRAD
24	Print a copy of the forwarding file under the respective agency folder.
25	**Final Report:** 1. Create two columns. One to insert the Justification and another to make a Recommendation to Commission. 2. For the recommendations, refer past HR Audit reports 3. Update cover page/Separators 4. Update summary of the observations 5. Insert Commission no. and date for Commission decision in the Recommendation column. 6. Cross check if no. of observations tallies in summary and the report 7. Run grammar and spell check

	8. Cross check if titles are center and middle aligned 9. Individually verify if all necessary changes are made, then discuss among team members
26	Share the template of the consolidation sheet. (Overall Consolidator)
27	Insert the observation and justifications from the report in the consolidation sheet (Focal)
28	Keep the similar observation together, ensure standard format, font, line spacing.
29	Ensure the accuracy of the information in the report & consolidation sheet. Ensure the same recommendations are provided for the same audit observations (both Focal and overall Consolidator to ensure this)
30	Cross check the evidence of the major observation.(Focals to print evidence and file under agency file)
31	Debrief Dasho Chair/Focal Commissioners/Director after receiving the justification from agencies.
32	Book the Commission's time/calendar for report presentation and endorsement. Coordinate with the audit phase Focal
33	Inform the focals on the venue, time and the format of presentation that are to be made to Dasho Chair or Director in HRAD Group Chat/Mail.
34	Share the Final Consolidation sheet with Commission Members and the Director (with commenting rights only) 2-3 days before the presentation
35	Present to the Commission as a Focal of your Agency
36	Insert Commission no. and date for Commission decision in the Recommendation column.
37	Use Standard letter from "Standard letter folder" for forwarding letter and Cautionary/Reprimand letters (ensure the letters are reviewed by the Chief/Offtg)
38	Email a copy of report (PDF format Compliance and strategic merged) and letters to HRO/Admin. Asst. for necessary action
39	Print a copy of the forwarding and cautionary/reprimand letters and file under the respective agency folder.
40	Update the auditing details and major observations under HR Audit module in ZESt
41	Upload the Final HR Audit report and letters under the respective folder in DMS
42	The soft copy of the final audit reports and letters to be inserted in the Final Report Sent file
43	File the endorsed consolidated audit report in Commission file (2).
44	Update the details of correspondence in MMS google sheet.(Focal Sangay Tenzin to ensure that all correspondences are duly updated)
45	Make necessary changes in the report if the CM's decision changes upon appeal and share with colleague
46	Ensure a constant follow up is done by yourself as a Focal. Eg: Refund after a promotion revoke case (period of 6 months), etc
47	Focals to conduct BCSR/HR Audit session with HRD/HRS staff, admin Asst of Schools and Dungkhags.

Implementation Status of Past Strategic recommendation	
1	Ensure headers are repeated in every page of the report using Page Layout option and Print Titles.
2	Prepare a report on the Implementation of past strategic recommendations by copy and pasting the last strategic recommendations from previous strategic reports.
3	Insert implementation status of respective agencies for past recommendations and evidence are filed accordingly.
4	Ensure that percentage of implementation status are rounded off to two decimals (Use Formula)
5	Use Font type: Calibri; Font size; 12, Space 1.15
6	Spell & Grammar Check
7	Insert Page nos. and borders
8	Proofread by the focal person and team
9	Combine the compliance and strategic HR audit report (PDF format merged). Email a copy of both the reports to HRO/Admin. Asst. for necessary action
10	Create a final HR Audit Report from the draft copy on the google drive.
11	Insert Commission no. and date
12	Update the Strategic implementation details under HR Audit module in ZESt

List of pre-requisite documents and data

A. Master List of reports to be generated from ZESt
1. List of civil servants promoted and Open Competition
2. List of civil servants undergoing long term training
3. List of civil servants recruited on regular and contract
4. List of civil servants who availed short term training
5. List of civil servants on extra ordinary Leave
6. List of civil servants separated (voluntary resignation, compulsory retirement, early retirement scheme, superannuation and termination)
7. List of civil servants imposed administrative action
8. List of civil servants on secondment
9. List of existing civil servants in the Agency
10. List of IWP score and moderation score
11. List of civil servants transferred
12. List of civil servants on medical leave

B. List of data from Agency

1. List of existing ESP and GSP
2. Drivers list with vehicle registration number
3. Obtain the signed promotion summary sheets from the Agency.

Methodology

Following methods were used to do the compliance audit:
1. Evidence based Approach
2. CSAB 2010
3. Position Directory (latest version generated from ZESt)
4. BCSR 2010, BCSR 2012, BCSR 2018 and BCSR 2023
5. Approved latest FYP staffing
6. Approved HR standard for ESP/GSP
7. Approved HR standards for Health Facilities
8. Approved HR standards for Education

Minutes of the Human Resource Committee Meeting

List of required documents for verification	
RCSC	**Agencies**
	√ Signed Minutes of the HR Committee Meeting
	√ Signed Conflict of Interest declaration form

	Process for Auditing
1	While reviewing the HRC minutes, the following information on the various HR actions are to be extracted, verified and inserted in the respective master list: √ STT √ Recruitment (Regular, Contract, ESP/GSP) √ Open Competition √ Transfer √ EOL √ Medical leave/Escort leave √ Secondment √ Disciplinary action √ Separation √ others
2	Review the HRC Minutes and check if there are any decisions not in line with the BCSR and accordingly note the issues as per **(Annexure 4).**
3	Review the HRC Agenda and see if the proper assessment has been carried out and relevant BCSR has been quoted.
4	Ensure if the HRC Members have declared Conflict of Interest.
5	Check the presence of permanent HRC members.
6	Check if Specialists (ES) are members of HRC if applicable
7	Check if there are a minimum of five HRC members including Chairperson.
8	Check if HRC minutes are signed by all the members attending the meeting.

9	In case of major observation, evidence of documents need to be collected for reference and further verification.

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note issues in the remarks column if there are any lapses in the above process and incomplete documents.*

Staff Assessment

List of required documents for verification	
RCSC	**Agencies**
√ List of existing staff from ZESt	√ List of drivers and vehicle registration number
√ Approved Staffing (latest FYP staffing)	√ List of Existing ESP/GSP
√ HR Standards (Education and Health facilities)	

	Process for auditing
	Staff Assessment
1	In the approved staffing of the Agency, map the existing staff from ZESt against the post approved *(Annexure 5)*.
2	Check for the following: √ Approved post √ Existing √ Gap/Excess staff √ Approved Position Title and level with their current Position Title and Level of staff list generated from ZESt. √ Departments/Division/Section/Sectors √ Exclude civil servants on EOL for more than 6 months √ Gap (Approved minus Existing)
3	Verify and confirm the staffing issues with the HROs of the Agency
4	Use pivot table and apply *sum of count* to carry out the staff assessment by Departments/Divisions/Sectors, Position Category, approved, existing and gap/excess as per the format *(Annexure 6)*
	Drivers and Vehicle Nos.
5	Cross check existing number of drivers and number of vehicle as per the *(Annexure 7)*
6	Check for excess drivers due to off-road vehicles.
	HRD/Section Assessment
7	Assess the HRD/HRS of the agency against the 5 criteria developed *(Annexure 8)*

	HR Utilization
8	HR Audit to share the log book as per the format in *(Annexure 9)* with the staff on Google sheet, when required .
9	Assess the staff strength of Division/Services based on the log book maintained and observation made during the auditing period and accordingly make recommendations.

Note:

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2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Regular Recruitment, Selection and Appointment (S1 and below)

List of required documents for verification	
RCSC	**Agencies**
√ Master list from ZESt for decentralized recruitment, selection and appointment (***Annexure 10***)	√ List of civil servants recruited (SSC or OC)
√ Position Directory (Verify from ZESt)	√ Process all recruitment through ZRS w.e.f 1-Jul-2022
√ Approved latest FYP Staffing	√ Vacancy announcement, Re-announcement copy in case the ratio is not met
√ HR Standards (Education and Health facilities)	√ List of shortlisted candidates
	√ Individual viva sheet
	√ Consolidated mark sheet
	√ Appointment order ZESt generated with QR code (w.e.f 1-Jan-2021)
	√ Conflict of Interest form
	√ Selected candidate documents - CID, Security Clearance (online) and Academic certificate, Drug Test report, valid online Audit Clearance (applicable to in-service) and Medical Certificate

	Process for Auditing
1	Segregate the master list of civil servants recruited by year using a pivot table.
2	Cross-check the recruitment list generated from ZESt with the following: √ HRC Minutes and √ ZRS
3	Check if the post is approved in the FYP staffing approved: √ Latest FYP Staffing to be referred √ HR standards approved (Education, w.e.f 20-Mar-2020 and Health facilities)
4	Check vacancy announcement details as follows: √ No. of posts announced and recruited.

	√ Minimum qualification as per Position Directory
5	Check for re-announcement after 5 working days in case the ratio of 1:3 is not met.

6	For shortlisting, check the following:
	√ If voluntarily resigned, need to apply to a higher position. Not applicable w.e.f 17-Dec-2023.
	√ Age: 18-40 years
	√ Check for past employment history and criminal records/termination/ERS from service using CID in the ZESt.
	√ Completed cooling-off period of one year after participation in politics. Check the employment form.
	√ The VTI/TTI with 2 years' certificate are recognized as Class XII (w.e.f 23-Jan-2018). The recognition is limited to the following positions:
	    √ Jr. Engineer
	    √ Building Inspector
	    √ Asst. Instructor II
	    √ Draftsperson
	    √ GIS Technician
	    √ Fire and Rescue Foreman.
	√ The Medical Technicians entry level has been changed to S2 A with qualification requirements of Cl. XII with Diploma w.e.f 27-Nov-2018. The first batch was appointed as of 1-Jan-2019.

7	Check if there are 3 panel members and they have declared Conflict of Interest.
8	**Two methods of selection:** √ Viva mandatory and √ Academics/Relevant training or √ Written/practical examinations.
9	Cross-check the viva marking from individual sheet to consolidated interview result.
10	Verify Drug Test Results submitted prior to appointment (w.e.f 23-Aug-2017).
11	Check the following documents for selected candidates: √ Academic transcript √ Security clearance(Online) √ CID √ Medical certificate

12	Check if the duration between the date of announcement and date of appointment is 3 months.
13	Check the following in the appointment order: √ EID allocated √ Appointment should be 1st January of every year and 1 January or July post 1-July-2023. √ SSC and OC can be recruited year round provided it is in accordance with the approved staffing pattern and available vacancies in the agencies (w.e.f 17-Dec-2023).
14	In the event the selected candidate withdraws or a similar vacancy arises within three months the standby candidate can be appointed.
15	In case of major observation, evidence of documents need to be collected for reference and further verification.
16	Check if the office order is ZESt generated with QR code (w.e.f 1-Jan- 2021)

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents*

Contract Recruitment

List of required documents for verification	
RCSC	**Agencies**
√ Master list from ZESt for the contract recruitment (*Annexure 11*)	√List of civil servants recruited on contract (PMC, SSC or OC)
√ Position Directory (Verify from ZESt)	√ Process all recruitment through ZRS w.e.f 1-Jul-2022
√ Approved latest FYP staffing	√ Copy of vacancy announcement, Re-announcement if the ratio of 1:3 is not met.
√ HR Standards (Education and Health facilities)	√ RCSC prior approval if applicable
	√ List of shortlisted candidates
	√ Individual viva sheet
	√ Consolidated mark sheet
	√ Appointment order ZESt generated with QR code (w.e.f 1-Jan-2021.)
	√ Signed Contract Agreement
	√ Conflict of Interest forms declared by the panel members
	√ Selected candidate documents - CID, Security Clearance (Online) and Academic Certificate, Drug Testing, and Medical Certificate

Process for Auditing	
1	Segregate the master list from ZESt recruited on contract by year using a pivot table.
2	Cross-check the recruitment list from ZESt with the following: √ HRC Minutes and √ZRS
3	Check if the post is approved in the FYP Staffing approved: √ Latest FYP Staffing to be referred to.

	√ HR standards approved (Education and Health facilities)
4	Check the following: √ Vacancy announcement. √ Re-announcement if the ratio of 1:3 is not met. √ The number of posts announced and recruited. √ Minimum qualification as per Position Directory in the ZESt √ Type of contract announced

5	From the list of shortlisted candidates, check the following:
	√ Age: minimum 18
	√ Check for past employment history using CID for criminal records/termination from service in the ZESt.
	√ Completed required cooling-off period of one year after participation in politics. Check the employment form.
	√ The VTI/TTI with 2 years' certificate are recognized as Class XII (w.e.f 23-Jan-2018). The recognition is limited to following positions:
	    √ Jr. Engineer
	    √ Building Inspector
	    √ Asst. Instructor II
	    √ Draftsperson
	    √ GIS Technician
	    √ Fire and Rescue Foreman.
	√ The Medical Technicians entry level has been changed to S2 A with qualification requirements of Cl. XII with Diploma w.e.f 27-Nov-2018. The first batch was appointed as of 1-Jan-2019.
	√ Not kept beyond superannuation age.

6	Check if there are 3 panel members and they have declared Conflict of Interest.
7	Two method of selection: √ Viva mandatory and √ Academics/Relevant training or √ Written/practical examinations.
8	Cross-check the viva marking from individual sheet to consolidated interview result
9	Verify Drug Test Results submitted prior to appointment (effective from 23-Aug-2017).
10	Check the following documents: √ Academic transcript √ Security clearance (Online) √ CID √ Medical Certificate
11	Check the duration of the gap between the date of announcement and date of appointment *is 3* months except for Substitute Teachers which should be 2 months.

12	Check the following in the appointment order: √ EID allocated √ Verify if contract employees at PMC are recruited at one position lower and SSC/OC at the equal position level. √ Verify if initial contract appointment is for a maximum of 3 years. √ Verify if the duration of contract for substitute teachers is nine months or less, depending on the closure of the academic year.
13	In the event the selected candidate withdraws or a similar or a similar vacancy arises within three months, the standby candidate can be appointed.
14	Check if the office order is ZESt generated with QR code (w.e.f 1-Jan-2021)
15	In case of major observation, evidence of documents need to be collected for reference and further verification
	Contract Extension
16	Check the following: √ Duration of Extension (Three years at a time). Check if the office order is ZESt generated with QR code (w.e.f 1-Jan-2021) √ Clean service record (AC and SC) √ Minimum performance or potential of good/meeting expectation and above with exception for one PME per contract term √ Contract Extension Form √ Upgradation to coincide with the extension (Delay upgradation by 1 year for every PME)

Note:

1. *Highlight in green for clear cases, red for issues and no filled colour for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Recruitment and Appointment of General and Elementary Service

List of required documents for verification	
RCSC	**Agencies**
√ GSP/ESP standard for Dzongkhags, Regional Offices, Ministries, Schools, Autonomous Agencies, Health facilities, and MOAL (Farms)	√ List of all existing ESP/GSP (*Annexure 12*)
	√ Process all recruitment through ZRS w.e.f 1-Jul-2022
√ List of GSP/ESP ZESt generated	√ Vacancy announcement, Re-announcement
	√ List of shortlisted candidates
	√ Consolidated mark sheet
	√ Appointment order (ZESt generated with QR code w.e.f 1-Jan-2021)
	√ Conflict of Interest forms declared by the panel members
	√ Individual viva sheet
	√ Signed contract Agreement form
	√ Contract extension form
	√ Selected candidate documents - CID, Security clearance (online), Medical Certificate, Civil Servant Employment Application form, Academic certificate if required, NOC if employed, Contract agreement form, Appointment order and Drug test.

Process for Audit	
1	Check for the recruitment and contract extension of ESP/GSP from HRC minutes.
2	Check the following for all the ESP/GSP in the Agency: √ All ESP/GSP is within the superannuation age of 57. √ Is between 18-50 years at the time of recruitment.
3	Check the following: √ Cross check the approved ESP/GSP standard with the existing No. of ESP/ GSP.

	√ Minimum qualification of class eight for Ward Boy;
4	For viva check the following: √ If there is a minimum of 3 panel members √ The panel members have declared Conflict of Interest.
5	Check the following documents of the selected candidates- √ Number of posts announced equals the number of selected candidates. √ Academic Transcript √ Security Clearance (online); √ CID copy √ Contract Agreement Form √ Medical certificate √ Employment Application form √ Drug test (w.e.f 23-Aug-2017) √ Appointment order (ZESt generated with QR code w.e.f 1-Jan-2021)
6	In case of major observation, evidence of documents need to be collected for reference and further verification
	Contract Extension
7	√ A ESP/GSP service may be extended with the consent of both the agency and the employee concerned for terms not exceeding three years at a time √ Extension order is ZESt generated with QR code w.e.f 1-Jan-2021 √ Clean service record (AC and SC) √ Performance record (Good and above) √ Contract Extension Form

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Decentralized Promotion (O4 to P2)

Broad-banded promotion	
List of required documents for verification	
RCSC	**Agencies**
√ Master list from ZESt for decentralized Promotion (***Annexure 13***)	√ Signed Promotion summary sheet
√ Position Directory (generated from ZESt)	√ PE rating form/Moderation score for 3 years in ZESt
√ Carry out system auditing for promotion	√ Valid Security Clearance (online) and Audit Clearance (Online)
	√ HRC Approval
	√ Promotion Order ZESt generated with QR code w.e.f 1-Jan-2021
	√ Additional documents required for P1 specialist promotion: -Specific Job description -Legal Undertaking - Specialist Staffing Matrix (w.e.f 1-Jan-2021) - Approved Area of Specialization (w.e.f 1-Jan-2021)

	Process for Auditing
1	Segregate the master list from ZESt promoted by year using the pivot table.
2	Cross-check the following: √ Master list from ZESt with the promotion summary sheet. √ HRC endorsement

3	Cross-check the following documents: √ PE form/Moderation score (Online), Security Clearance (online) and Audit Clearance (online) √ For P1 level Specialist additional requirements are specific job description (Prior to 1-July-2020) and legal undertaking.
4	√ Check whether the performance rating/moderation score is correctly entered in the promotion summary sheet. √ Check if all 3 PE ratings/moderation scores are correctly updated in ZESt.
5	Cross-check the following performance criteria: √ For the financial year *2015-201*6 onwards, the *PE rating* should be consistently *Good* and above. √ For the academic year *2016* onwards, the *PE rating* should be consistently *Good* and above. √For the financial year *2016-2017* onwards, the *Moderation score* should be consistently *Good* and above √For the academic year *2017* onwards, the *Moderation score* should be consistently *Good* and above. √ PE rating/moderation score of NI has to serve an additional year over and above minimum years of active service (2018). √For the financial year 2022-2023 and academic year 22, both the performance score and potential score has to be Good and above. √ Candidate who has served for more than one year in the contract service and has a performance score of PME, their promotion to the higher level will be delayed by one year for every PME score, if selected through BCSE and their employment status is changed from contract to regular.
6	Cross-check the following information with CV from ZESt: √ Study duration more than 18 months and EOL period to be deducted from the active service of the promotion √ Maternity leave of 6 mms counted as active service √ Bachelors **w.e.f. Sept. 12, 2014,** is considered inactive except for the 2015 batch of CNR and PTC teachers at Paro College of Education under the mixed mode. Check the letter of award issued by RCSC to confirm if the bachelors is considered active or not. √ Medical leave **beyond 3 months** is deducted from the active service of promotion √ The civil servant needs to be physically present to process promotion. √ No pending investigation/administrative action/court case √ Promotion cannot be processed when **LTT status** in ZESt is '***Reported but pending Completion'.*** √ Promotion cannot be processed post LTT when the status is still **undergoing** √ The duration of PGDE to be deducted from the active service of the promotion, for Contract staff whose employment status is changed from contract to regular upon selection through BCSE.(Notification dated 25-Dec-2023)

7	**Check the duration of active service as follows:**
	√First promotion - 5 yrs
	√Second promotion onwards:
	    √ PMC - 4 years;
	    √ SSC - 4 years (S5 to S4 and above) and 5 years (S1 to SS4 and above)
	    √ OC - 4 years
	√ Civil servants who have undertaken 18 months PGDE shall be promoted after four years of active service including probation period.

8	Not eligible for the promotion during the study period and while on EOL except for the following:
	    √ LTT under Mixed-Mode (BCSR 2012, 2018)
	    √ Doctors **undergoing postgraduate** study at **KGUMSB** except during their elective posting outside Bhutan w.e.f. **3rd May 2016.**.
	    √ Cross-check promotion list with the LTT, EOL and medical leave of 3 mms list

9	**Doctor Career path** *(Implemented w.e.f 1-Jul-2015 and decentralized w.e.f 6-May-2016)*
	For Doctors promoted in accordance with **doctor career path reform Schedule 13/1** verify the following:
	√ **Seniority Lost = (MBBS/BDS -5 years) + (Masters-2 years)**
	√ **First Promotion = 1 year probation +3 years**
	    ● *Seniority lost (MBBS/BDS)*
	    ● *Course duration is more than 5 years*
	    ● *Lost seniority while pursuing MBBS/BDS*
	    ● *Currently practicing the profession*
	    ● *PE rating as per BCSR 2012*
	    ● *Clean service record*
	√ **More than 2 years study to be considered active for promotion with service duration of 4 years**
	    ● *Seniority lost (MBBS/BDS & Masters Degree)*
	    ● *Masters (clinical)*
	    ● *Course duration more than 2 years*
	    ● *Excludes extension period due to failure of course*
	    ● *Currently practicing the profession*
	    ● *PE rating based on university performance*
	    ● *Duration criteria of 4 years*
	    ● *Clean service record*

10	**Promotion Order** Check if the promotion order is ZESt generated with QR code (w.e.f. 1-Jan-2021) and cross-check the following in the promotion order with ZESt: √ Effective date; √ Position title and; √Position level
11	Check if the civil servant has followed the correct cycle for PE rating/moderation.
12	**Promotion Revoke**

	If the promotion does not meet the criteria and need to be revoked, the following process needs to be followed: √ Check and note when he/she meets the promotion criteria and when the promotion could be regularized. √ If the promotion is revoked due to performance criteria, check the PE rating/Moderation score from the year he/she meets the performance criteria in the ZESt, valid AC and SC. Accordingly recommend the regularization of promotion where applicable. √ If the promotion is revoked due to duration criteria, check PE rating/moderation score from the year he/she meets the duration criteria, valid AC and SC. Accordingly recommend the regularization of promotion where applicable.
13	Check if promotion order is ZESt generated with QR code w.e.f 1-Jan-2021
	P1 level Specialist (*w.e.f. 1 July 2020*)
14	P1 level Specialist promotion have been decentralized to all Agencies including Dzongkhags Check the following details for **P1 Specialist** promotion • The post is approved as per the (SSM) Specialist Staffing Matrix except for Medical and Teaching services. • The new Specialist undertaking form signed. • The specialization is listed in the approved Area of Specializations (AoS) • **Sectors in Dzongkhags** have Specialists at **P1 position level only**. • The promotion into Specialist for a particular year does not exceed the planned/indicated number for that year. • Integrity assessment report- Clean service record vetted with RAA and ACC
15	In case of major observation, evidence of documents need to be collected for reference and further verification

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Promotion through Open Competition

List of required documents for verification	
RCSC	**Agencies**
√ Master list from ZESt for promotion through Open Competition *(Annexure 13)*	√ Approval from RCSC if applicable
√ Position Directory (latest version generated from ZESt)	√ Vacancy announcement
√ Approved latest FYP staffing	√ Re-announcement copy if the ratio of 1:2 is not met
	√ List of shortlisted candidates
	√ Integrity assessment report
	√ Conflict of Interest form
	√ Interview form of each panel member
	√ Consolidated summary result sheet
	√ PE form/moderation score form for the last 2 years. (Minimum Performance and Potential Score of Very Good and above for P1M Position).
	√ Valid online Security Clearance (online) and Audit Clearance (Online), NOC.
	√ HRC Approval
	√ Promotion Order/Office order ZESt generated with QR code w.e.f 1-Jan-2021

	Process for Auditing
1	Cross-check the master list from ZESt with the list of promotion extracted from HRC Minutes

2	Promotion order is ZESt generated with QR code w.e.f 1-Jan-2021.
3	RCSC's approval letter for announcement for position level P2 and below.
4	Check the following details in the vacancy announcement: √ The announced post should be as per the staffing pattern.
5	Re-announcement copy if the ratio of 1:2 is not met.
6	Check the following for the **shortlisted candidates**: √ Qualification as per PD and superstructure √ Position level- One position lower √ Minimum of 2 years of active service in the current position level at the time of the announced application deadline. √ Study duration more than 18 months and EOL period to be deducted from the active service of the promotion √ PE form/moderation score for the last 2 years. (Minimum Performance and Potential Score of Very Good and above for P1M Position). √ Has completed equal the duration of the study period to apply for another position within/outside the Agency after August 2016.
7	**PE rating/Moderation Score** √ For the financial year *2015-201*6 onwards, the *PE rating* should be consistently *Good* and above. √ For Academic year *2016* onwards, a minimum *PE rating* of '*Good*' for the last two years is required for shortlisting. √For the financial year *2016-2017* onwards, the *Moderation score* should be consistently *Good* and above √For the Academic year *2017* onwards, the *Moderation score* should be consistently *Good* and above. √ PE rating/moderation score of *NI* has to serve an additional year over and above minimum years of active service (2018.
8	Medical leave beyond 3 months is deducted from active service of promotion
9	**Ineligible Candidate:** √ Should not be in entry level position (BCSR 2018) √ For an in-service candidate selected through the BCSE, he should have availed first promotion after his selection through the BCSE (BCSR 2018) √ While undergoing long term training or on Secondment and medical leave.
10	Declaration of Conflict of Interest by the interview panel.
11	The selection committee consists of **at least three** members of the HRC and **two** representatives from the RCSC in cases of **P1** selection.

12	Check if weightage is provided and the following is pre-populated: √ Service in rural area(s) - 5% √ Seniority - 5% √ PE rating/Moderation score - 40%
13	**Preference Ranking: P1 (**w.e.f. **1-July-2019)** Check Interview forms of each panel member for the following: √ If the scores awarded by panel members are converted to **preference ranking.** √ The candidate ranked first by three or more out of five panelists, and with a**n average score of 70%** and above shall be selected. √ When there is no selection based on the above, the sum of all ranking will be considered and the candidate with the lowest sum and average score of 70 and above, shall be selected √ If there is a **tie** when considering the sum of ranking, an **average of the marks of the two tied** candidates only will be used to determine the final selection and the candidate with a higher score and with an average score of 70% and above, shall be selected √ When there is **only one candidate** for the interview, he should obtain a **minimum score of "70% and above"** from three or more out of the five-panel members, to be selected. *Note: while using preference ranking, no need to remove the extreme marks*
14	**Open Competition Post 1-July-2022** Check the following: √ Psychometric test √ Online Time limited Situational Judgement Test (SJT) √ Job scope and achievement (road map) √ Group Interview (3 out of 5 panels rated "not meeting expectation" disqualified) √ Individual Interview (candidate rated "Exceeding expectations " by majority will be selected)
15	Check the documents of the selected candidates √ NOC √ Security clearance (online) and √ Audit clearance (online).
16	√ Check the duration of the gap between the date of announcement and date of office order issued (2 months).
17	Cross-check the following in the promotion order with ZESt: √ Promotion effective date should be 1st or 15th of the month. √ Position title and; √ Position level √ Result endorsed by HRC
18	A candidate appointed and promoted through an open competition shall be required to serve a minimum of two years in that position in the agency

19	Cross-check if all promotions are updated in the system.
20	For a candidate to get selected, the majority of the panelists should rate the candidate as "Exceeding Expectation".
20	In case of major observation, evidence of documents need to be collected for reference and further verification

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Training

List of required documents for verification	
RCSC	**Agencies**
√ Master list from ZESt for Short Term training (***Annexure 14***)	√ STT guideline endorsed by RCSC.
√ Master list from ZESt for decentralized Long term training (*Annexure 14*)	√ Security Clearance (Online), Audit Clearance (Online)
	√ HRC Approval number and date
	√ Office Order/Letter of Award ZESt generated with QR code 1-Jan-2021.
	√ Consolidated - Joining order/ Feedback form/ Training report
	√ Certificate if applicable
	√ MoU with Constitutional Office if applicable
	√ Field trip approval applicable for LTT (MOH)
	√ Drug test result for LTT

Process for Auditing	
1	Segregate the master list of civil servants who availed STT/LTT by year using the pivot table.
2	Read the STT guideline endorsed by RCSC.
3	Cross-check the master list from ZESt with the following: √ List of STT/LTT approved by the Agency from HRC minutes.

Short Term Training

	BCSR 2018	BCSR 2023
STT shall apply to:	● Certificate/Diploma course ● Counterpart training	● In-country or ex-country in-class Training/Certificate/Dipl

	• Attachment and Internship • Study Tour/Institutional Visit ***Exceeding 5 days:*** • Inspection visit/Procurement visit • Seminar/Workshop • Conference/Symposium/Forum/Meeting • Other ex-country travel	oma course • Ex-country Attachment/Internship/Counterpart training • Ex-country Study Tour/Institutional visit • Ex-country Inspection/Procurement visit
Approving authority:	HRC of the agency	
Eligibility	• Regular CS should have completed probation for all ex-country travel • Contract & ESP/GSP not eligible for ex-country STT. Exception for the ITEC course. • Relevancy • Minimum of 6mm to superannuate	• CS on probation/contract civil servant eligible for ex-country training if it is skill based/leads to greater specialization (Relevancy). • Minimum of 6mm to superannuate
Gap: 1. STT to STT 2. LTT to STT 3. STT to LTT	1. 6 mm gap between 2 ex-country STT (depending on the type/duration of STT). 2. 1 year gap 3. 6 mm gap 4. No gap requirement for in-country STT.	*For sl. no. 1 & 2* as per the Agency's STT guideline. 3. 6 mm gap 4. No gap requirement for in-country STT.
Obligation:	Not applicable	Serve minimum of 6 months prior to EOL/resignation. Otherwise, liable to pay one month's gross pay for every remaining month of obligation.

Documents required:	- LOA ZESt generated with QR code 1-Jan-2021 for training defined in BCSR 2023. - Valid AC & SC (online) for training defined in BCSR. - Certificate if applicable. - Consolidated Joining report/ Training report/ Feedback form.

4	**STT gap analysis methodology** Using pivot feature from MS Excel, carry out the following: - Use course title and remove, Inspection visit, Procurement visit, Seminar, Workshop, Conference, Symposium, Forum, Meeting and other ex-country travel less than 5 days - Take EID and the course title to ensure there is no duplicate in trainings - Insert EID, the start date and end date and check for the 6 mm gap OR; - Using formula, minus start date of the second training from the end of the first training. Days not exceeding 180 days shall be considered as a gap not maintained. * The same procedure to be followed for post 2023, the gap requirement should be in line with the Agency's STT guideline.
6	**Long Term Training** Notification on Field trip w.e.f 20/3/2019 *(Applicable to MOH)* - Agency shall approve the field trip. - All field trips shall be within the host country and Bhutan. - Field trip for a maximum of 3 weeks of duration in a year for candidates pursuing clinical LTT. An exception to those pursuing clinical courses in Thailand, they shall not be allowed for field trips in Bhutan/other countries. - Maximum of 2 weeks of duration in a year for rest.

	BCSR 2023
Decentralized LTT:	- Full time Masters degree & mixed mode (Teachers): MOESD. This is subject to HR auditing. √ Full time Bachelor's degree and Continuing Education (Class X & XII, Bachelor Degree & Masters Degree): Working agency. Also Subject to HR Auditing, except the selection process.
Eligibility:	Be 45 years or below during course commencement. However, for scholarships administered by RCSC/Agency the

		age can be 45 years or below at the time of application deadline. ● Fulfill the 6 month gap requirement if an individual has availed STT. ● Not be on Secondment, EOL, Maternity Leave, Medical Escort Leave or Medical Leave. ● Minimum "G" or meeting expectation in the recent performance evaluation cycle. ● Should have 3 years of active service including probation for BCSE select and rest should have served 5 years of active service including probation. ● Completed the LTT obligation. ● Same level of LTT can not be availed. ● Maximum of 3 in-service LTT in the entire civil service.
	Documents required	● LOA ZESt generated. ● Valid SC/AC (online). ● Undertaking. ● Drug test. ● Joining report/ order (ZESt generated w.e.f 1-Jan-2021)
7	In case of major observation, evidence of documents need to be collected for reference and further verification inclusive of minor observations on gaps not maintained and irrelevant training availed. 136624	

Note:

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2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Performance Management System: MaX

List of required documents for verification	
RCSC	**Agency**
√ Master list from ZESt of Moderation score (***Annexure 15***)	√ Signed moderation score result

	Process of Auditing
1	Segregate the master list of civil servants moderated by year using the pivot table
2	Get the employee distribution list from the agency and check if it's distributed in line with the Bell Curve Distribution.
3	Check if there is a Performance Improvement Plan (PIP) for civil servants categorized under Need Improvement/Partially Meeting Expectation and whether they have been promoted or not.
4	Check if the moderation score is correctly updated in ZESt by comparing the list from ZESt with the signed moderation result.
5	**Performance score for the financial year 2022-2023 and Academic year 2022** For civil servants on *EOL, they* will not have Performance Evaluation for the period of EOL only if he/she is away for the entire assessment year. However, civil servants who join or leave the agency during the performance period with at least 6 months of active service shall be included in the pool of employees to be moderated.
6	Check if the probationers's performance score is a minimum of Good. The probationer rated/categorized as Partially Meets Expectation (PME) by the supervisor will not have their service regularized.
7	**Performance score for financial year 2019-2020 and Academic year 2020.** For those civil servants on LTT, Secondment and Medical leave, if they have worked 6 months and above during the financial/academic year, civil servants should be moderated. For less than 6 months they are to be given default rating of Good.(w.e.f 1-Jul-2020).

	For civil servants on *EOL*, who join or leave the agency during the performance period irrespective of the duration of active service shall be included in the pool of employees to be moderated (w.e.f 1-Jul-2020).
8	**Performance Score prior to financial year 2019-2020 and Academic year 2020.** For those civil servants on *Secondment*, *Medical leave (>1 year)* and *LTT*, shall be rated "*Good*" by default provided they were away for the entire appraisal period. However, if the seconded agency submits the report of non-performance, they can be moderated under "*Need Improvement*".
9	In case of major observation, evidence of documents need to be collected for reference and further verification

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Leave

List of required documents for verification	
RCSC	**Agencies**
√ Master list from ZESt for civil servants on EOL (**Annexure 16)**	√ Legal Undertaking for EOL
√ Master list of Medical/Escort Leave from ZESt (**Annexure 17**)	√ EOL/Medical Leave/MEL Order (ZESt generated w.e.f 1-Jan-2021)
	√ Joining Order (ZESt generated w.e.f 1-Jan-2021)

	Process for Auditing
	EOL
1	Check whether it is approved by HRC.
2	Cross check with the following eligibility criteria: √ Maximum duration for EOL is 24 months for the entire service period. √ Completed 5 years including probation period for EOL more than 3 months. √ Completed probation for EOL up to 3 months. √ Civil Servant has completed Secondment/long term training obligation prior to availing EOL. √ Check if a civil servant is not serving an administrative penalty. √ Contract and ESP/GSP are not eligible for EOL.
3	Cross check the following documents: √ Legal undertaking √ EOL Order (ZESt generated w.e.f 1-Jan-2021)and; √ Joining (ZESt generated w.e.f 1-Jan-2021) order provided the civil servants had joined the Agency.
4	Check if EOL is updated in ZESt and verify the effective date with office order.
5	Compulsory retirement for those civil servants who fail to join back after the completion of EOL period.
6	Check if EOL order and joining order are ZESt generated with QR code (w.e.f 1-Jan-2021)
7	In case of major observation, evidence of documents need to be collected for reference and further verification

	Medical Leave (ML)
8	For regular staff, medical leave of maximum of 36 months can be availed and check for the following: √ More than 3 months of ML to be deducted during promotion. √ Medical leave exceeding 14 days: HRC approval √ Medical leave of 14 days or more will be counted as part of 36 months √ Check Medical Certificate for a civil servant, who has been granted Medical Leave of three months or more to either continue his Medical Leave or to rejoin his duty.
9	**Medical Escort Leave** √ A civil servant shall be granted the Medical Escort Leave for a maximum period of 2 months inclusive of extension to escort direct dependent, referred from lower level medical facility to a higher level medical facility. √ For Medical Escort leave outside the country, the treatment should be both referred to and funded by JDWNRH. √ A contract civil servant shall be granted the Medical Escort Leave for a maximum period of 2 months inclusive of extension to escort direct dependent per contract term. The leave beyond one month shall be leave without pay.
10	Contract civil servants can avail ML of maximum of 2 months inclusive of extension per contract term. However, medical leave beyond one month shall be leave without pay per contract term.
11	Check for ZESt generated order with QR code w.e.f 1-Jan-2021.
12	In case of major observation, evidence of documents need to be collected for reference and further verification

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Transfer

List of required documents for verification	
RCSC	**Agencies**
√ List of civil servants transferred *(Annexure 18)*	√ Transfer List √ Transfer guideline √ Vacancy Announcement √ Transfer Order √ Joining order

Process for Auditing
Annual Transfer

1	Check if there is a transfer guideline endorsed by RCSC for parent Agencies.
2	Check if civil servant are transferred without completing 3 years from initial place of posting
3	Check for the transfer order
4	Check if the civil servants who are left with only 1 year to superannuation are transferred.
5	√ Civil servants on contract can be intra transferred but for inter transfer must complete a minimum of 5 years. Not eligible for transfer benefit in both the cases. √ ESP/GSP can be intra transferred after completing a minimum of 5 years without transfer benefit.

Lateral Transfer

6	Verify vacancy announcement.
7	Vacancies for lateral transfer should be announced through the ZRS.
8	Check if appropriate selection procedures are followed in case of more than one applicant.

9	Verify whether there is a recommended No Objection Certificate (NOC) from the working agency, which must be approved by the parent agency for individuals seeking lateral transfer.
11	Lateral transfer to be only initiated to fill in vacant positions and not applicable for those on EOL for more than 6 months.
12	Verify the following criteria: √ Has completed equal the duration of the study period to apply for another position within/outside the Agency after August 2016. √ Completed 3 years for new appointee and in-service civil servants. √ Completed 2 years in the same place of posting to be eligible for next lateral transfer
12	Check for ZESt generated office order w.e.f 1-Jan-2021.
Attaches at Embassies/Mission/Consulate	
13	For Ministries (MoEA, MoAL, MoF, MoH, MoE and MoHCA) check the following: √ Selected through open competition √ Maximum term of 3 years √ Replacement to be selected 6 month prior to the expiry of the term
Secondment	
14	A civil servant selected on secondment, shall be posted for a maximum period of three years and is non extendable.

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*
3. *For major observation, a copy of documentary evidence is required.*

Disciplinary Action

List of required documents for verification	
RCSC	**Agencies**
√ List of civil servant serving disciplinary action from ZESt *(Annexure 19)*	√ Administrative disciplinary file/HRC Minutes

Process for Auditing	
1	Verify/Insert the list of civil servants on whom disciplinary actions have been imposed from HRC Minutes in addition to the list generated from ZESt.
2	Ensure whether disciplinary action imposed by HRC has been implemented.
3	Check the uniformity of the administrative actions imposed on civil servants and If there are any discrepancies in the penalties imposed for similar offences.
4	In case of major observation, names of HRC members, evidence of documents need to be collected for reference and further verification

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete document*

Separation

List of required documents for verification	
RCSC	**Agencies**
Master list **(Annexure 20)** from ZESt for: √ Voluntary Resignation (VR) √ ERS √ Superannuation √ Contract termination √ Others	√ Separation order
	√ Sanction order/gratuity working sheet
	√ Relieving order (Only for superannuation)

Process for Auditing	
1	Cross check the master list from ZESt with the separation endorsed in HRC
2	Check if the civil servant has complied with the following conditions: √ BCSE obligation - 4 years √ Pre-service obligation (DAHE/PG- 2 times); w.e.f 17-Dec-2023 the UG scholarship awardees has to serve 2*the course duration for regional countries (South Asia & South East Asia) & 3*the course duration for ex-country scholarship/King's Scholarship. √ Service obligation for SSC & OC- 2 years √ LTT obligation (1st LTT - 2 times, 2nd LTT - 3 times, 3rd LTT – 4 times) √ Secondment obligation (In-country International organization equal to Secondment duration, Ex-country International organization equal to 2 times the Secondment duration). √ LTT status "undergoing" no HR action will be applicable √ The LTT obligation will be calculated sequentially for undergrad & in-service LTT. √Verify if a civil servant was sanctioned with retirement benefits based on the earlier position level if he/she voluntarily resigned after a promotion without serving a minimum of six months. √ Served 3 months notice period if separated through Voluntary resignation.

3	**BCSR 2018**
	ERS eligibility criteria
	a) Is 51 years and above.
	b) Is below 51 years of age fulfilling the following conditions:
	    i. A civil servant has served for a minimum of 20 years;
	    ii. A civil servant does not possess a minimum of Bachelor Degree; and

	iii. A civil servant has no obligations to the Government. c) Has exhausted admissible medical leave of three years. d) Is appointed as a Member of the Constitutional Office. -ERS suspended w.e.f. 28-Dec-2022 and may be granted only by the Commission.
4	Check if the separation orders are ZESt generated with QR code (w.e.f 1-Jan-2021)
5	Check the following for calculation of gratuity: √ Served a minimum of 10 years active service, except for death cases while in service. √ Check if EOL duration is deducted from the active service duration for the purpose of calculating gratuity. √ The individual shall superannuate on the day of attaining the superannuating age. The gratuity and other post retirement benefits shall be computed on a prorated basis.

6	A civil servant shall retire from service upon completion of the following superannuation age:
	
	   I. Executive & Specialist Category- 63
	   II. Professional & Management Category-60 years
	  III. Supervisory & Support Category
	
	      a. SS4 – SSS- 59 years
	
	      b. S5 – S1- 57 years
	
	  IV. Operational Category-57 years
	   V. GSP/ESP-57 years.

7	If civil servants are **Compulsory Retired:** √ Entitled for all the retirement benefits.
8	If civil servants are **Terminated:** √ Not entitled for retirement benefits except for their own contributions.
9	Check the entire staff list, if they have crossed superannuation age.
10	In case of major observation, evidence of documents need to be collected for reference and further verification
	Contract Termination
11	Check if kept beyond superannuation or not.

12	Check the separation status of employees in the ZESt if updated correctly.
13	Check if completed the initial contract term to be eligible for repatriation benefits.
14	√ Notice period waiver for contract staff selected through BCSE for regular positions. √ Notice period waiver for contract staff selected for regular positions, NOC from the current agency to serve as notice.(w.e.f 31-Jan-2024) √ For contract staff applying for other contract positions, 3 months notice is mandatory/notice period specified in the contract agreement form.(w.e.f 31-Jan-2024)
15	In case of major observation, evidence of documents need to be collected for reference and further verification
	Contract Termination of ESP/GSP
16	**Check/Verify the following:** √ Gratuity entitled only for completed years of service. √
17	In case of major observation, evidence of documents need to be collected for reference and further verification

Note:

1. *Highlight in green for clear cases, red for issues and no filled color for cases not verified.*
2. *Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.*

Unsettled Benefits

List of required documents for verification	
RCSC	**Agencies**
	√ HRC Minutes
	√ All HR actions

Process for Auditing	
1	Identify unsettled benefits from HRC Minutes and other HR actions audited. This highlights the observation requiring additional HR actions which are in compliance with BCSR but due to oversight, have been left out by the Agency. Such observation brings about the positive intention of the auditing exercise.
2	Unsettled benefits include gratuity not given and eligible promotion revoked by HRC etc. even though criteria are met.

Compliance Report Writing

	Process for Auditing
	Process for Auditing
1	Ensure Summary of the HR actions audited and the observation are tabulated as per *(Annexure 21)*
2	Draft the report as per template (*Annexure 22*) in accordance with the observation from the *To Do List* and working sheet.
3	The draft Compliance report captures good HR practices, Audit period, areas of HR actions and duration of HR audit. The observations in the report are divided into two columns. The first column consists of the write up on the observation and relevant BCSR clauses are quoted. In the second column observations are categorized as major or minor depending on the gravity of the observation. For some of the observations, the details are captured in the annexures.
4	Debrief the entire staff of HRD/HRS on the observations
5	Debrief the Management/Head of the audited agency on the draft report and minimum of 2 weeks to be given for justification.
6	After receiving the justification, apprise the Focal Commissioner and finalize the report as per the template (*Annexure 23*). In the final report, the justification from the Agency and recommendation from HRAD is included.
7	Present to the Commission.
8	Share the final report with the Agency and copy to the head of the departments/Sectors. Send the letters as per the decision of the Commission.
9	File the copy of letters sent to Agencies for future reference.

Annexures for Compliance HR Auditing

Risk Assessment Matrix								
Risk Area	Risk Factors							
	Last Audit	**Total No. of Observations**	**Complexity**	**Finance**	**Changes**	**Sensitivity & Impact to individuals**	**Operation Mgt.**	**Controlled System**
Staffing								
Recruitment								
Promotion								
HRC Minutes								
STT								
MaX								
Transfer								
Leave								
Administrative Action								
Separation								
Secondment								

Definitions of Risk Factors

Risk Factors	Definition
Last Audit	The period since the last audit was carried out.
Total No. of Observations	Number of observations made during last HR audit
Complexity	Complex and lengthy HR process and past HR audit observation
Finance	The cost of HR process and the investment on the individual civil servant
Changes	New policies, notifications, changes in the Head of HRD
Sensitivity and Impact to individual	Sensitivity of impact is assessed based on past HR audit observations by HR actions
Operation management	How are the works carried out by the staff, how experienced are they?
Controlled system	Are the control systems of validation incorporated in the ZESt. Eg. Doctors career path not taken care of by ZESt

Determinants of Risks

Determinants of Risks									
Risk Level	**Score**	**Last Audit**	**Total No. of Observations**	**Complexity**	**Finance**	**Changes**	**Sensitivity of Impact**	**Operation Mgt.**	**Controlled System**
High	3	>=5 years	>20%	Very High	High	Many	High	Weak	Good
Medium	2	3-4 years	>10% - 20%	Medium	Medium	Some	Medium	Satisfactory	Very Good
Low	1	>2 years (as per HR audit manual)	<10%	Low	Low	Few	Low	Good	Excellent

Risk Area	Risk Factors								Total Risk Score	Average Risk Score	Risk Level
	Last Audit	**Total No. of Observations**	**Complexity**	**Finance**	**Changes**	**Sensitivity Impact on individuals**	**Operating Management**	**Controlled System**			
Staffing											Low
Recruitment											Low
Promotion											Low
HRC Minutes											Low
STT											Low
MaX											Low
Transfer											Low
Leave											Low
Administrative Action											Low
Separation											Low
Secondment											Low

*Note: Risk level Reference
Low: 0-1.5; Medium: >1.5-2 ; High >2-3
The risk score and risk level will be automatically updated when the Risk Assessment Matrix is filled in.*

			RISK REGISTER (Financial Year……….)		
Sl. No.	HR Area	Risk Owner (Agency)	Category of Risk (Risk Matrix; Directive from Commission and Recommendation from Division)	Risk Level Assessment (High, Medium, Low)	Audit Period
1	Staffing				
2	Recruitment				
3	Promotion				
4	HRC Minutes				
5	STT				
6	MaX				
7	Transfer				
8	Leave				
9	Administrative Action				
10	Separation				
11	Secondment				

HRC Minutes

HRC Minutes No.	Date	HRC Minutes Signed	ES member of HRC (Ministry and agency)	Presence of permanent members	COI	Min. 5 members including Chairperson	Issues

Staff Assessment working sheet

Dept/Div	Approved	Existing	Gap/Excess	Name	EID	PT	PL/SL	Remarks
Grand Total								

Note: Drivers to be excluded

Staff Assessment

Dept/Div	Position Category	Approved	Existing	Gap/Excess	Remarks
Department 1...					
ESC					
PMC					
SSC					
OC					
ESP/GSP					
Sub Total					
Department 2...					
ESC					
PMC					
SSC					
OC					
ESP/GSP					
Sub Total					

ESC					
PMC					
SSC					
OC					
ESP/GSP					
Grand Total					

List of Drivers

Sl No.	Name	EID	PL	Dept/Division/ Sector	Contract or Regular	Vehicle Registration Number	Off road or not	Remarks

HRD/HRS Assessment

Rubric/Criteria						
Documentation	Promptness (Coordination/Communication/Follow up)	Rules Clarity (BCSR/Notifications)	Application of ZESt	Strategic past implementation status	Average Score	Overall categorisation: EE (3), ME (2-2.99), NME (1-1.99)

Note:- The rating of the agencies are based on the 3 categories (NI-1, Good-2 and Outstanding-3) for each checklist and overall marking has been taken through average score
EE- Exceeding Expectation
ME- Meeting Expectation
NME-Not Meeting Expectation

Documentation	The files are kept ready for HR Audit, the files are neatly categorized into different HR Areas, the Personal Files of the Civil Servants are maintained and updated.
Promptness (Coordination/ Communication/ Follow-up)	Coordination within the HRS, HRS communicates the cases and information to the HR Audit Team and within themselves, efficiency in terms of following up on the issues and solving them during the auditing process.
Rules Clarity (BCSR/ Notifications)	BCSR clauses and the notifications awareness, type of observation (Clear cut and Complexity).
Application of ZESt	Office orders are generated for various HR actions, Data inaccuracy cases and signs of lack of knowledge in using ZESt.
Past Strategic recommendation applications	90-100- Outstanding=3	60-89 -Good=2	Below 60-NI=1

Template for Log Book

DAILY LOG OF ACTIVITIES (Insert period…...)				
Name				
EID				
Position Title				
Position Level				
Division				
Agency				
Date	**Activities**	**Time**		**Total time spent on each activity (in hours) e.g. If one activity be takes 30 minutes, it should be converted as 0.5 hours (30/60 minutes)**
		From	**To**	

List of civil servants recruited (*S1 and below*)

Sl. No	Name	EID	CID	PT	PL	SL	Emp Type (Regular)	Agency/Dept/Div	DOB	Qualification	Appt dt	Appointment order reference

List of civil servant appointed on contract

Sl. No	Name	EID	CID	PT	PL	SL	Contract Duration from and to	Emp Type (Contract)	Agency/Dept /Div	DOB	Qualification	Appt dt	Appointment order reference

ESP/GSP Appointment

Sl. No	Name	CID	PT	Type of level (GSP/ESP)	Date of Appointment	Date of Birth	Agency/Department	Contract term From	Contract term to	Contract Extended till	Remarks

List of Civil Servants Promoted

Sʟ No.	Name	EID No.	CID	Before Promotion		On Promotion		Last date of promotion	Type of Promotion	Office Order Reference	Working Agency/Division/Sector
				PT	PL	PT	PL				

List of STT/LTT

Sl. No.	Name	EID	CID	PT	PL	Agency Name	Dept /Div/ Sec	DOB	Course Title	Start date	End date	Duration (end date-start date+1)	University/ Institute	Country	HRC no. date	Office order reference

Moderation Score

EID	Name	PT	PL	Agency Name	Last date of Promotion	IWP rating	Moderation score	PE from date	PE to date

List of civil servant who availed EOL

| Sl. No | Name | EID | PT & PL | Last promotion date | Agency Name | Type of Employee | EOL | | | | EOL Order Reference |
							Start date	End date	Duration	Date of joining	

List of civil servants who availed Medical leave/Medical Escort Leave

Sl. No	Name	EID	PT & PL	Agency Name	Last promotion date	Medical Leave/Medical Escort Leave					Office Order Reference
						Start date	End date	Duration	Date of joining	Name of recommending Dr.	

Transfer List

Sl. No	Name	PT	PL	SL	Date of Appt	Previous date of transfer	Last Date of Transfer	Agency From	Agency to

Administrative Actions

Name	EID	PT	PL	Agency Name	Type of Offense	Type of Administration action taken	HRC Number and date

List of Civil Servant Separated

Sl. No	Name	EID	PT	PL	Agency Name	Dt. of Appt	DOB	Sept dt	Sept type	Year	Emp Type	Separation order references

Summary of Compliance HR Audit

Summary of HR Audit: (*Insert Agency name*)			
(Audit period from …. to….)			
HR Actions Audited	**Nos.**	**Major Observations**	**Remarks**
Recruitment			
Regular			
Contract			
ESP/GSP			
Promotion			
Broad-banded			
Open Competition			
HRC Minutes			
Short-Term Trainings			
MaX			
Leave (EOL/ML)			
Transfer			
Administrative Action			
Secondment			
Separation			
Total			

Template for Draft Compliance HR Audit Report

Draft HR Audit Report
HR Audit Observations: (*Insert Agency Name*)
(*Insert audit period* …. to…….)

Introduction

As required by Section 27 (g) of the Civil Service Act of Bhutan 2010 which states that "The Royal Civil Service Commission as the Central Personnel Agency of the Government shall conduct periodic HR auditing across all agencies," accordingly the RCSC has Audited *(Insert Agency name)* from *(Insert Date)* to *(insert Date)*. The main objective is to ensure compliance and uniform application of provisions of the CSAB 2010, BCSR across the Civil Service and also to ensure effective and efficient utilization of civil servants.

The auditing exercise identifies gaps, limitations and appropriate interventions where necessary are also recommended. In addition, good HR practices of the Agency if any are highlighted. Compliance auditing for a period of…..years … months was carried out from *(Insert Date)* to *(insert Date).*

Areas of Auditing
Compliance HR audit was carried out for decentralized HR actions such as Staffing plans and implementation; Human resource development and implementation; Utilization of human resources; Recruitment, Selection and Appointment process; Mismatch in the Position title and Job assignments; Individual Work Plan/Moderation score; Promotion; HR Committee Meeting minutes; Transfer; Leave; Administrative disciplinary procedures, decisions and implementation; Secondment; Separation; Work conditions/environment; Civil Service information and records; and any other HR related matters.

Methodology

Following methods were used to do the compliance audit:

1. Evidence based approach
2. All HR action taken as per BCSR 2010, 2012, 2018 and 2023
3. Civil Service Act of Bhutan 2010
4. RCSC approval
5. Approved staffing
6. HR standards

Good HR Practices

1. ……
2. ….
3. ….

Obs. Nos	Audit Observations/Findings	Type of Obs.
	1.Staffing	
1.1	**Staffing**	
1.2	**Drivers and Vehicle no.**	
1.3	**HRD/HRS Staff Utilization**	

	2. Recruitment (Regular: *insert No.*; Contract: *Insert No.*; ESP/GSP: *Insert Nos*)	
2.1		
	1. Promotion (Broad banded: *Insert No.* and Open Competition: *Insert No.*)	
3.1		
	2. HRC (*Insert No*)	
4.1		
	3. STT (*Insert No*)	
5.1		
	4. Max (*Insert No*)	
6.1		
	5. Leave (*Insert No*)	
7.1		
	6. Transfer (*Insert No*)	
8.1		
	7. Administrative Discipline (*Insert No*)	
9.1		
	8. Separation (*Insert No*)	
10.1		
	9. Unsettled Benefits(*Insert No*)	
11.1		

Template for Final Compliance HR Audit Report

Final HR Audit Report
HR Audit Observations: (*Insert Agency Name*)
(*Insert audit period* …. to…….)

Introduction

As required by Section 27 (g) of the Civil Service Act of Bhutan 2010 which states that "The Royal Civil Service Commission as the Central Personnel Agency of the Government shall conduct periodic HR auditing across all agencies," accordingly the RCSC has audited *(Insert agency name)* from *(Insert Date)* to *(insert Date)*. The main objective is to ensure compliance and uniform application of provisions of the CSAB 2010, BCSR across the Civil Service and also to ensure effective and efficient utilization of civil servants.

The auditing exercise identifies gaps, limitations and appropriate interventions where necessary are also recommended. In addition, good HR practices of the Agency if any are highlighted. Compliance auditing for a period of…..years … months was carried out from *(insert Date)* to *(insert Date).*

Areas of Auditing

Compliance HR audit was carried out for decentralized HR actions such as Staffing plans and implementation; Human resource development and implementation; Utilization of human resources; Recruitment, Selection and Appointment process; Mismatch in the Position title and Job assignments; Individual Work Plan/Moderation score; Promotion; HR Committee Meeting minutes; Transfer; Leave; Administrative disciplinary procedures, decisions and implementation; Secondment; Separation; Work conditions/environment; Civil Service information and records; and any other HR related matters.

Methodology

Following methods were used to do the compliance audit:

1. Evidence based approach
2. All HR action taken as per BCSR 2010, 2012, 2018 and 2023.
3. Civil Service Act of Bhutan 2010
4. RCSC approval
5. Approved staffing
6. HR standards

Good HR Practices

1. …….
2. …….
3. ……..

Obs. Nos	Audit Observations/Findings	Type of Obs.	Agency's Justification	Commission Decision (......CM held on……..)
1. Staffing				
1.1	**Staffing**			
1.2	**Drivers and Vehicle no.**			
1.3	**HRD/HRS Staff Utilization**			
2. Recruitment (Regular: *insert No*; Contract: *Insert No.*; ESP/GSP: *Insert Nos*)				
2.1				

	3. Promotion (Broad banded: *Insert No.* and Open Competition: *Insert No.*)			
3.1				
	4. HRC *(Insert No)*			
4.1				
	5. STT *(Insert No)*			
5.1				
	6. MaX *(Insert No)*			
6.1				
	7. Leave *(insert No)*			
7.1				
	8. Transfer *(Insert No)*			
8.1				
	9. Administrative Discipline *(Insert No)*			
9.1				
	10. Separation *(Insert No)*			
10.1				
	11. Unsettled Benefits*(Insert No)*			
11.1				

STRATEGIC HR AUDITING

INTRODUCTION

Agency Quality Assessment Framework (AQAF) is a self-assessment tool that enables employees and managers to jointly evaluate and self-assess their own organization and define its strengths, improvement areas and improvement actions. It is adopted from European CAF (Common Assessment Framework) 2020. It consists of 9 criteria, 28 subcriteria and 108 examples. These criteria form the basis for the assessment across the Civil Service in Bhutan. While the 9 criteria and 28 sub criteria remain the same, the example questionnaires were contextualized to the needs of the Bhutanese Civil Service, using references such as Support Function Assessment (SuFA) and Leadership Capability Framework (LCF).

The objective of AQAF is to promote organizational excellence, enhance service delivery and embed the culture of continuous improvement in the Civil Service. Using AQAF, a comprehensive and quick analysis of the whole organization can be carried out, enabling the organization to detect their current quality position and identify potentials for improvement and elaborate implementing measures to reach to their envisioned state, thereby ensuring continuous improvement of organizations. Thus, AQAF enables organizations to obtain comprehensive organization checks and define improvement actions. All the recommendations are subject to evaluation by the Human Resource Audit Division (HRAD), RCSC after a 2 year period.

PURPOSE AND BENEFITS

The AQAF aims to be a catalyst for a full improvement process within the civil service with the following objectives:

- Carry out the joint self-assessment by the staff and management in order to obtain a comprehensive organization check (Strength, improvement area & improvement action).
- Progressively implement the PDCA (PLAN, DO, CHECK, ACT) logic.
- Introduce the culture of excellence and enhance the performance of the agency through evidence based assessment.

AGENCY QUALITY ASSESSMENT FRAMEWORK
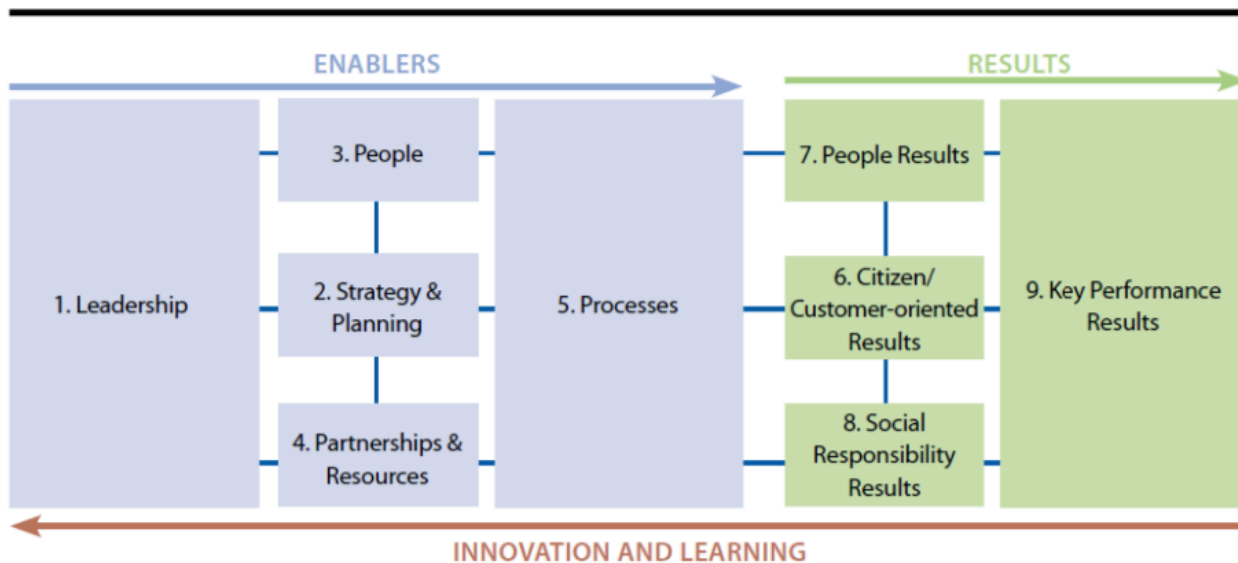
Figure 1: Agency Quality Assessment Framework

The Agency Quality Assessment Framework identifies nine areas of assessment in the Agency. These criteria are grouped into two, namely: Enablers Criteria and Results Criteria. Criteria 1–5 are the enablers that deal with the managerial practices of an organization, which determine what the organization does and how it approaches its Leadership, Strategy and Planning, People, Partnership and Resources and Processes in order to achieve the desired results. Meanwhile, Criteria 6–9 indicates the results achieved in the fields of citizens/customers, people, social responsibility and key performance which are measured by perception and performance measurements.

As shown in the figure, AQAF is based on the premise that organizational excellence is driven by a dynamic Leadership which determines the development of strategy and planning, management of people, partnerships and resources and their processes, and thereby achieve excellent results in organizational performance, citizens/customers, people and society. Integrating the assessment of enablers and results criteria into the managerial practices ensures continuous improvement and learning cycle through progressive implementation of Plan, Do, Check, Act (PDCA) logic.

Each criterion is further broken down into 28 subcriteria. They are illustrated by examples that explain the subcriteria in detail and suggest possible areas to address, in order to explore how the organization meets the requirements expressed in each sub criterion (***Annexure 1)***.

AQAF TERMS

Before the self assessment it is important to have a common understanding of the following AQAF terms with respect to the agency:

Criteria	Definition
1. Citizens/Customers	The service receiver of the agency.
2. Leadership	Those in managerial positions. Ex: Chief, Director, Sector heads, Dzongdag etc.
3. Partners	Partners take part in the service delivery of the agency & share accountability.
4. Stakeholders	Individual or group that has an interest in any decision or activity of the agency.
5. Output	The services provided by the agency.
6. Outcome	Impact of the agency's core activities.
7. Core processes	Process that is strategically important in the development and facilitation of services with an added value.

AQAF Criteria and Subcriteria

AQAF Criteria and Sub-criteria
Criterion 1: - Leadership - Consider what the organization's leadership is doing to achieve the following.
In a democratic society, elected representatives make strategic decisions and set goals for numerous policy areas. The leadership of civil service organizations advises political authorities on the formulation of public policy based on their knowledge in the field. It is in charge of putting public policies into action and seeing them through. The AQAF distinguishes clearly between the roles of political leadership and leaders of civil service organizations, while emphasizing the significance of excellent collaboration to achieve policy outcomes. Criteria 1 emphasizes the conduct and behavior of the individuals in leadership positions. It involves three key roles: i) As leaders, they drive the agency towards a common goal through clear strategic direction. ii) As managers, they create an organizational culture in which the agency can thrive and excel. iii) As facilitators, they extend assistance to their staff and ensure effective relationships with relevant stakeholders.
Sub Criterion 1.1 - Provide direction for the organization by developing its mission, vision and values Leaders provide strategic direction by identifying clear organizational vision, mission and core values which are communicated to the staff. Civil service need to uphold the value of democracy, rule of law, customer focus, diversity, gender equity, fair working conditions and ingrained corruption prevention. For this a dynamic leadership is crucial to promote organizational resilience and is aware of the benefits and risks of digitalization.
Sub Criterion 1.2 - Manage the organization, its performance and its continuous improvement Leaders design, execute, and monitor the management system of the Agency. An appropriate organizational structure with defined management, processes and clear roles and responsibilities ensures the achievement of the organization's outputs and outcomes. The performance management system is based on quantifiable targets which are integrated with resources and reviewed regularly. Leaders are accountable for enhancing performance through continuous improvement by fostering an environment that encourages innovation, learning, and ethical behavior.
Sub Criterion 1.3 - Inspire, motivate and support people in the organization and act as a role model The organization's leadership and management style is one of the key factors for employee's motivation. Leaders are role models who inspire and encourage their staff through their personal behavior and effective human resource management. For motivating staff, delegation of competencies, responsibilities, accountability, opportunities for personal development and recognition and reward are crucial.

Sub Criterion 1.4 - Manage effective relations with political authorities and other stakeholders

Leaders are in charge of managing relationships through dialogue with political authority and stakeholders. Leadership serves as the link between the organization and the political authority in the civil service.

Political authorities can exercise leadership by developing goals in collaboration with leaders of civil service since civil service serve as administrative bodies for political leaders.

Criterion 2: Strategy and Planning - Consider what the organization is doing to achieve the following.

A clear strategy is required to implement the organization's vision that determines the outputs (products and services) and outcomes (impact). Setting strategic objectives entails identifying stakeholders' requirements and expectations, establishing priorities based on the availability of the resources and making decisions.

The strategy must be translated into plans, programs, operational objectives, and measurable goals. For organizational performance, monitoring and periodic evaluation should be part of the planning process as well as keeping abreast with modernisation and innovation for continuous improvement.

Sub Criterion 2.1 - Identify the needs and expectations of the stakeholders, the external environment and the relevant management information

The PDCA cycle (PLAN, DO, CHECK, ACT) is critical in developing and implementing plans and strategies in civil service. The strategies are initiated through reliable information on the present and future needs of all important stakeholders and performance of the organization.

The achievement of strategic goals must be based on comprehensive risk analysis, effective implementation and follow-up. The regular assessments should be conducted in collaboration with stakeholders including their feedback to assess their changing needs and expectations.

Sub Criterion 2.2 - Develop strategies and plans based on gathered information

In order to develop a strategy, an Agency must identify its strategic goals in accordance with the policies, the demands of relevant stakeholders, its leaders' overall vision and management information gathered on the changing environment.

Top management should set clear objectives for outputs and outcomes while setting strategic priorities and decisions and ensure resources are allocated to meet those objectives.

Moreover, social responsibility should also be included in the Agency's strategies.

Planning requires a comprehensive approach with defined indicators and result monitoring mechanisms in place.

Developing strategies and action plans establishes a framework for measuring the results that will be

evaluated in accordance with the criteria on citizens/customers (Criterion 6), people (Criterion 7), social responsibility (Criterion 8) and key performance (Criterion 9).

Sub Criterion 2.3 - Communicate, implement and review strategies and plans

The ability of the organization to implement the strategy depends on the quality of the plans and programs and how effectively information is communicated to the relevant stakeholders and employees. For this, management must ensure that proper processes, project management and organizational structures are in place. Organizations should continuously monitor how their strategy and plans are executed, and accordingly make necessary changes where applicable.

Sub Criterion 2.4 - Manage change and innovation to ensure the agility and resilience of the organization

An effective civil service needs to be agile and resilient to respond effectively to the changing citizen and customer demands, enhance service quality and reduce costs.
Innovation can occur by incorporating innovative techniques to deliver services with added value to customers and citizens and by integrating modern techniques for managing programmes.

The decision-making process, operational service delivery and innovation evaluation are crucial components of the design phase. Therefore, open communication and attitude towards continuous improvement is the responsibility of the top management.

Criterion 3: - People - Consider what the organization is doing to achieve the following.

The Agency's most valuable asset is its people. Effective human resource management enables the Agency to achieve its strategic goals through employee engagement, motivation, growth and retention. Since people are the Agency's largest investment, strengthening leadership development, talent management, and workforce planning are crucial.

People engagement & involvement is built upon trust and fairness, open communication, autonomy, being apolitical, reward and recognition, wellbeing, and the provision of a safe and healthy workplace. It is crucial to understand that only satisfied staff lead to satisfied customers.

Sub Criterion 3.1 - Manage and improve human resources to support the strategy of the organization

Managing people and organizational culture is a crucial component of strategic planning. Through effective human resource management, people can contribute towards the achievement of an organization's overall vision, mission and objectives.

The sub-criteria evaluates the agency's ability to align its strategic objectives with its human resources and accordingly identify, develop and deploy. It examines how the agency attracts and retains employees who

understand the customers' needs and deliver services accordingly. The development and implementation of a human resources management policy is a part of this process, involving routine analysis of current and future human resource needs.

Sub Criterion 3.2 - Develop and manage competencies of people

The identification, development, and management of people's competencies are essential for an organization to succeed. Individual competency development plans and periodic performance discussions enable the staff to take on additional responsibility in order to continuously improve the capabilities of the Agency. When this is aligned with the strategic objectives, encourages staff to perform and supports a vibrant workplace culture through innovative training techniques. Moreover, this attracts young, talented individuals to realize the Agency's goals.

Sub Criterion 3.3 - Involve and empower the people and support their well-being

People participation creates an environment where staff may influence choices that have an impact on their work. Management and staff constantly work together to develop their organization by removing organizational silos via discussion, fostering creativity, innovation, and performance improvement proposals.

All leaders within the Agency must ensure that people's wellbeing, a culture of open communication and transparency are supported for proper execution of the relevant policies.
Achieving people commitment through consultations and regular communication, and information about work culture via staff surveys and leader evaluations are pertinent.

Criterion 4: - Partnerships and Resources - Consider what the organization is doing to achieve the following.

Adequate resources allocation and management is essential for execution of strategy and planning and for an effective functioning of the operations. Different partners such as the public sector, corporate sectors, NGOs, educational institutions, and private sectors, etc help the agencies gain the expertise.

Civil service is perceived as a link in a larger network of institutions that are all collaborating with stakeholders such as civil society organizations and citizens to achieve a common goal for citizens.
Further, agencies must manage appropriate resources, such as finances, expertise, technology, and facilities to ensure their effective operation.
Resource management should be efficient, creative, and transparent for maintaining accountability towards the various stakeholders on the optimum utilization of resources by the Agency.

Sub Criterion 4.1 - Develop and manage partnerships with relevant organizations

Civil service must manage relationships with public, non governmental and private organizations to accomplish their strategic goals.

Therefore, organizations should identify their important partners, collaborate and establish agreements .

Sub Criterion 4.2 - Collaborate with citizens and civil society organizations

The inclusion of citizens and civil society organizations is progressively seen as a fundamental tool for enhancement of service delivery. Complaints and suggestions are all considered valuable contributions to the enhancement of services. Close collaboration with civil society organizations are essential throughout the entire policy cycle: co-decision makers, co-designers, co-producers, and co-evaluators.

As co-decision makers, citizens participate in making decisions that have an impact on them. They influence service delivery in response to their unique demands as co-designers. They participate in the cycle of service production and/or delivery as co-producers. They evaluate the quality of policies and services as co-evaluators.

Sub Criterion 4.3 - Manage finances

Proper budget planning is the primary step in cost-effective, sustainable and accountable financial management. To monitor the financial decisions are properly implemented, an accountancy system and internal control mechanism are required.

It is necessary to generate additional financial resources even though the flexibility to apportion or allocate the funds is limited.

Sub Criterion 4.4 - Manage information and knowledge

An organization's knowledge, skills, and competences are its major assets with the main objective to equip individuals with the knowledge they need at the appropriate time for effective application. This comprises a learning-based organizational culture that is open and collaborative with emphasis on knowledge exchange and retention.

Effective organizations share knowledge to all staff and stakeholders by leveraging technology.

Sub Criterion 4.5 - Manage technology

The ICT policies of an organization must align to the strategic and operational goals of the organization.
The use of ICT for certain activities and services must be guided by a clear vision and strategy.
An organization strategy must integrate the use of technology to manage processes and provide fast and better services. This can be achieved by taking into account the needs, abilities and expectations of stakeholders including the staff. Moreover, it's important to ensure data protection.

Sub Criterion 4.6 - Manage facilities

Civil service must periodically assess the condition of the infrastructure to ensure effective, affordable, and sustainable infrastructure in order to meet consumer and staff needs.

A prerequisite for the effective functioning of the organization is a safe and healthy working environment.

A life cycle policy for sustainable building structures and equipment is equally important.

Criterion 5: - Processes - Consider what the organization is doing to achieve the following.
Processes are an organized set of interrelated activities that efficiently transform resources or inputs into services (outputs) that have an impact on society (outcomes).   There are three types of processes that enable an organization to operate efficiently: ❑ Core processes: Essential to achieve the organization's mission as well as to delivery of services while taking into account the expectations of the citizens/customers and other stakeholders;   ❑ Management processes: To guide the Agency;   ❑ Support processes: For delivering the necessary resources.   Criteria 1 and 2 deals with management processes and Criteria 3 and 4 with support processes while Criteria 5 specifically deals with the Agency's core processes.   In Civil Service, the core processes range from very specific tasks like service delivery to more abstract ones like supporting policy creation. Effective process management depends upon the need to increase efficiency and added value for its citizens/customers and other stakeholders by leveraging technology/digitalization and citizen/customer involvement.
Sub Criterion 5.1 - Design and manage processes to increase value for citizens and customers   This sub criterion evaluates how processes are identified, designed, managed, and innovated to add value for the Agency to meet the strategic and operational goals. The quality of the service provided is dependent on the degree to which managers, employees, and various external stakeholders are involved in the design, management, and innovation processes.   An agile organization, able to conduct systematic analysis of customer needs, and periodic evaluation of the processes are requirements for developing efficient processes.
Sub Criterion 5.2 - Deliver products and services for customers, citizens, stakeholders and society   This sub criterion evaluates how Agency's involve citizens/customers as part of development to delivery services.   An efficient, effective, and innovative Agency will bring innovative services at a fair cost which can be achieved by drawing on the expertise and creativity of citizens and civil society. Co-design, co-decision, and co-production is beneficial for improving the quality of services since co-production is co-owned hence more legitimate and rewarding.

Sub Criterion 5.3 - Coordinate processes across the organization and with other relevant organizations

This sub criterion evaluates how well the organization's processes are integrated with those of other organizations functioning within the same service chain.
In civil service, cross-functional processes are common and the effectiveness and efficiency of processes depends on moving from a "silo" culture to a collaborative and integrative approach thereby providing value for the citizens/customers.

Criterion 6: Citizen/Customer-oriented Results - Consider what the organization has achieved to meet the needs and expectations of customers and citizens through the results of the following.

The citizens/customers are the recipient of services delivered by Agencies within the Civil Service and are members with rights and duties. Customers are the beneficiary as well as the taxpayer, they have the right to be treated with fairness and courtesy without neglecting the agency's interests.

Criterion 6 describes the agency's results in terms of citizen/customer satisfaction with the agency and the services it provides. AQAF enables the Agency to directly analyze perception of citizen/customer satisfaction. The satisfaction of citizens/customers can also be measured through performance indicators.

Sub Criterion 6.1 - Perception measurements (Customer Satisfaction Survey report/OCS Report)

The direct assessment of citizens' and consumers' experience or perception is critical by receiving feedback and information on various aspects of the Agency's performance through customer surveys, focus groups or user panels.

The reputation of organization, accessibility, staff performance, citizen/customer involvement, information sharing, service quality, and the organization's innovation, agility, and digitalisation skills are the indicators of perception measurement.

Sub Criterion 6.2 - Performance measurements

The quality of services delivered to citizens and customers can be measured by performance management indicators.

These measures reflect the quality of service delivery, transparency and accessibility, stakeholder involvement and innovation. The AQAF provides examples of internal indicators that monitor performance to meet the needs of its customers and citizens.

Criterion 7: - People Results - Consider what the organization has achieved to meet the needs and expectations of its people through the results of the following.

People results refers to achieving the organizational results in line with the competence, motivation, engagement, perspective, and performance of its staff.

The criterion displays two types of people results:
1. The general perceptions of the Agency which is asked directly extracted from the people and
2. The general results of people used by the Agency to monitor and improve people's satisfaction and performance results.

Sub Criterion 7.1 - Perception measurements (Employee Satisfaction Survey)

The sub criterion evaluates whether the people perceive their Agency as a desirable place to work and if they are inspired to give in their best everyday. Therefore, it is crucial that civil service systematically assess how the public views the Agency and the services it offers.

Sub Criterion 7.2 - Performance measurements

Performance measurements of an Agency enable Agencies to track their accomplishments in terms of their general behavior, performance, skill development, motivation and level of involvement in the Agency.
These findings frequently involve internal assessments of the behavior that people exhibit (e.g. sick leave, attrition, number of staff grievances, number of proposals for creativity and innovation, etc.).

Criterion 8: Social Responsibility Results - Consider what the organization is achieving regarding its social responsibility, through the results of the following.

The primary goal of civil service is to fulfill a specific set of societal needs and expectations. Civil service should act responsibly in support of economic, social, and environmental aspects in local, regional, national and international communities.
Social responsibility is the ability of the organization to consider social and environmental factors while making decisions and act accordingly given the impact of their decision on the society and the environment.
The Agency's contribution towards the community and its impact on the environment have become a determining factor to assess its overall performance.
Fulfilling its social responsibility the Agency will:
1. Improve its reputation and image among the general public.
2. Improve the ability to recruit, engage, and retain staff.
3. Improve the relationships with all the stakeholders.

Social responsibility results are assessed through I) Perception measurements (qualitative/quantitative measures of perception) and II) Performance measurements (quantitative indicators) .

Sub Criterion 8.1 - Perception measurements

The main emphasis of perception measurement is how the public perceives the organization's performance at the local, regional and national, and worldwide levels. Various tools such as surveys and reports can be used to gather direct views from stakeholders.

The perspective provides a clue as to how well the social and environmental measures are working. This includes the ethical behavior to help the citizens, the strategy and outcomes for environmental concerns, the influence on the quality of life and democracy, and the stance on transparency.

Sub Criterion 8.2 - Performance measurements

The focus of performance measurements is on the tools that the organization uses to track, comprehend, forecast, and enhance its social responsibility performance. They may take into account moral behavior, efforts and outcomes to minimize health hazards, knowledge-sharing programs, efforts for optimum utilization of resources and reduce environmental concerns.

Criterion 9: Key Performance Results- Consider the results being achieved by the organization, in relation to the following.

Key performance results are those that the organization has identified as essential, measurable achievements that reflect the organization's success for both short and long term. They indicate the policies' and processes' ability to achieve the aims and objectives of the Agency.

Key performance results are:

i. **External results:** outputs and outcomes to goals, emphasizing on the mission and vision (Criterion 1), strategy and planning (Criterion 2), products and services (Criterion 5), and results for external stakeholders.

ii. **Internal results:** level of efficiency, with emphasis on linking with people (Criterion 3), partnerships and resources (Criterion 4), and processes (Criterion 5), as well as the accomplished results in building organizational excellence.

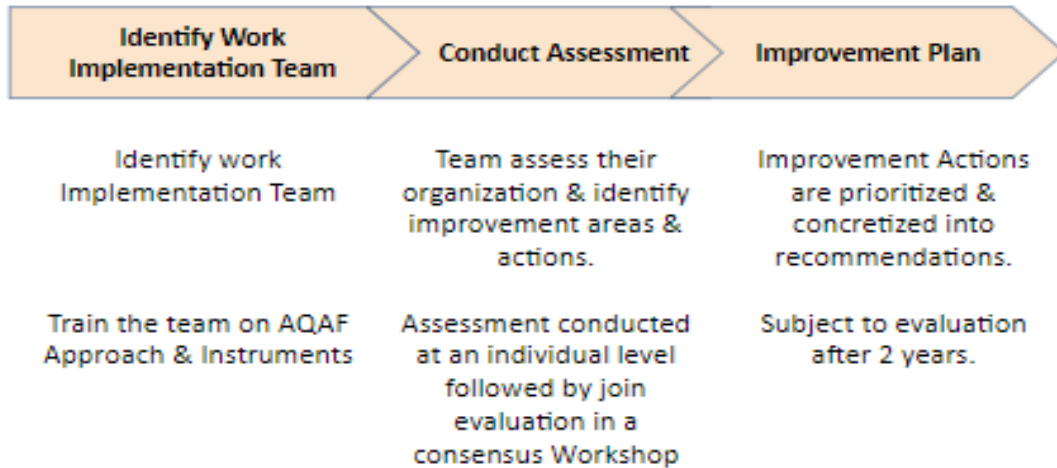**Sub Criterion 9.1 - External results: output and public value**

The capacity of the Agency to meet the expectations of external stakeholders and to create public value in line with its purpose, vision, and civil service sector reforms is measured by the organization's external results. Any Agency should evaluate how well its primary objectives are being met in terms of outputs and outcomes of the Agency's core activities on external stakeholders and society in order to effectively improve its performance.

Sub Criterion 9.2 - Internal results: level of efficiency

The efficiency, effectiveness, and financial indicators of the Agency's operation are influenced by the internal results. It takes into account the outcomes of its process management (e.g., productivity, cost-effectiveness, defectiveness), financial performance (conformity of financial results to budget),

effective utilization of resources and the results of the performance evaluations (internal inspections and audits, certifications, participation in competitions and awards).

METHODOLOGY

Identify Work Implementation Team	Conduct Assessment	Improvement Plan
Identify work Implementation Team	Team assess their organization & identify improvement areas & actions.	Improvement Actions are prioritized & concretized into recommendations.
Train the team on AQAF Approach & Instruments	Assessment conducted at an individual level followed by join evaluation in a consensus Workshop	Subject to evaluation after 2 years.

The AQAF implementation involve three phase plan as follows:

Phase 1: Identification of Work Implementation Team

During this phase, an internal team known as work implementation team is formed from the agency, ensuring representation from all Divisions/Services/Sectors. This team is responsible for the assessment of its Agencies, identifying its strengths and weaknesses and collaboratively frame recommendations. For this, the work implementation team is trained on AQAF approach and methodology for 2 days.

Phase 2: Assessment

After the training of the work implementation team, each member carries out an assessment of the agency to identify strengths and areas of improvement and allocate scores to the individual 28 sub-criteria based on AQAF online survey administered to them. The questionnaire consists of 28 sub-criteria and 108 examples to explain the 9 criteria in more detail. Following this, the work implementation team meets for 2 days consensus workshop and discusses strengths, improvement areas, improvement actions and the scoring of individual sub-criteria and reach a consensus/agreement.

Phase 3: Improvement Plan

Of the total improvement actions gathered from AQAF online survey, only a number of them are prioritized by the work implementation team during the action plan workshop and concretized into recommendations

and quick wins. For each recommendation, focal and team members are identified along with the activities and timeline for implementation. Similarly, for quick wins, the focal and timeline is identified. While recommendations are to be implemented within a maximum time frame of 2 years, quick wins are implementable within 3 months. These recommendations are subject to evaluation after 2 years by HRAD, RCSC.

AQAF Scoring

While identifying strengths and areas of improvement, scores (ranging from 0-100) are allocated for each 28 sub criteria by the work implementation team. For the enablers, the work implementation team selects the level that the agency has reached among the phases of PDCA (Plan, Do, Check, Act). Meanwhile, in the results criteria, each level takes into account both the trend of the results and the achievement of the target simultaneously. The scale of 100 allows the team to specify the degree of implementation of the AQAF measures by the agency, as well as provide an indication of the direction and priorities to follow for improvement.

Enablers (Criteria 1-5) Scoring

In the enablers panel, the emphasis lies on PDCA as a cycle (PLAN, DO, CHECK and ACT).

PHASE	ENABLERS PANEL SCORING	SCORE
	We are not active in this field, we have no information or are very anecdotal.	0-10
PLAN	We have a plan to do this.	11-30
DO	We are implementing/doing this.	31-50
CHECK	We check/review if we do the right things in the right way	51-70
ACT	On the basis of checking/reviews we adjust if necessary.	71-90
PDCA	Everything we do, we plan, implement, check and adjust regularly and we learn from others. We are in a continuous improvement cycle on this issue.	91-100

Results (Criteria 6-9) scoring

In the results assessment panel, the trend of the results and the achievement of the targets are both taken into consideration. The organization is said to be in a continuous improvement cycle when excellent and sustainable results are achieved, and all relevant targets are met.

RESULTS PANEL SCORING	SCORE
No results are measured and/or no information is available.	0-10
Results are measured and show negative trends and/or results do not meet relevant targets.	11-30
Results show flat trends and/or some relevant targets are met.	31-50
Results show improving trends and/or most of the relevant targets are met.	51-70
Results show substantial progress and/or all the relevant targets are met.	71-90
Excellent and sustained results are achieved. All the relevant targets are met. Positive comparisons with relevant organizations for all the key results are made.	91-100

A Step by Step Guideline for implementing AQAF

Sl. No	Activities	HRAD	Work Implementation Team
1.	Roll out AQAF in the identified Agency.	✔	
2.	Communicate the AQAF plan to the agency.	✔	
3.	Compose work implementation team ensuring representation from all Division/Sectors of the Agency (*Annexure 2*).	✔	
4.	Conduct 2 days workshop for work implementation team on AQAF approach and instruments.	✔	
5.	Participate in work implementation team training workshops to understand the AQAF and its objectives.		✔
6.	Carry out individual assessment based on an AQAF online survey administered. For this, 5 working days are to be provided to carry out the assessment.		✔
7.	Consolidate the individual assessments for the consensus workshop.		✔
8.	Coordinate and participate in a 2 days Consensus workshop to reach a common understanding on strengths, improvement areas and improvement actions among the work implementation team.		✔
9.	Draw up a Consensus report.		✔
10.	Draft an improvement plan based on the Consensus report and share it with the work implementation team for identifying the quick wins and		✔

	priority area.		
11.	Conduct a 2 days Action Plan workshop to build recommendations. A maximum of 10 recommendations are to be co-created, assigning timeline and a focal for each recommendation.		✔
12.	Prepare a Draft report **(Annexure 3).**		✔
13.	Present to the Management and staff of the Agency for feedback and necessary changes. *(The report must be endorsed by HRC of the Agency).*		✔
14.	Make necessary changes based on the comments and feedback received.		✔
15.	Submit the AQAF report to HRAD, RCSC for information and necessary action.		✔
16.	Upload the final report and documents collected for the future ODE team in G-Drive *(HR Audit Documents>Future ODE Documents)*. The report should be uploaded in DMS and G-Drive *(HR Audit Documents>CAF.AQAF Reports)*.	✔	
17.	Assess the implementation status of recommendations after 2 years (**Annexure 4).**		✔

Annexures for Strategic HR Auditing

AQAF Assessment

The questionnaire is based on 9 criterias which is further segregated into 28 sub-criterias. There are a total of 108 questions. The questionnaire is as shown below:

Agency Quality Assessment Framework (2020) - (Questionnaire)	
Criterion 1: - Leadership - Consider what the organization's leadership is doing to achieve the following.	
Sub Criterion 1.1 - Provide direction for the organization by developing its mission, vision and values	
a	Set a clear direction for the agency by developing the mission (What are our mandates?), vision (What are our long term objectives?) and values (What steers our behavior?), involving relevant stakeholders and employees (e.g. updated VMOV on official web page, ODE report, Minutes of meeting, Annual Report, APA/APT).
b	Ensure that integrity, transparency, innovation, social responsibility and inclusion, sustainability, diversity and gender aspects are in the mainstream of the agency's strategies and activities (e.g. CoI forms signed, evaluation of leadership statement and SuFA, ethics & integrity reports of ACC (OIP -Organizational Integrity Plan scores), APA/APT, 12 FYP).
c	Ensure the wider communication and dialogue about the mission, vision, values, strategic and operational objectives to all employees in the agency and to other stakeholders in clear, concise & articulate manner (e.g. minutes of the consultative meeting, email/correspondences, awareness sessions (virtual/physical)).

d	Ensure agency agility by periodically reviewing the mission, vision, values and strategies reflecting changes in the external environment (e.g. digitalisation, climate change, public sector reforms, demographic developments, impact of smart technologies and social media, data protection, political and economical changes, social divisions, customers' differentiated needs and views)

Sub Criterion 1.2 - Manage the organization, its performance and its continuous improvement

a	Define appropriate management structures, processes, functions, responsibilities and competencies (Competency Based Framework (CBF)) and Leadership Capability Framework (LCF)) (e.g. organigram, job descriptions, realistic scheduling of work, agency's relevant manual, Google Calendar (work schedule), Developed CBF, agency's website (organigram & manual), budget utilization Plan, IWP/APA/APT).
b	Maintain a management information system (e.g. excel-documentation with key performance indicators, other relevant tool) with input from the internal control and risk management system (e.g. four-eyes principle, rotation principle, separation of functions, data security precautions, evaluation of LS and SuFA, Risk management framework).
c	Set targets and use a defined set of indicators, results and outcomes to measure and evaluate the performance and impact of the organization, prioritizing national, customers' and citizens' differentiated needs (e.g. APA targets).
d	Ensure good internal communication (e.g. periodical meetings including documentation) and external communication in the whole agency and use new means of communication including social media (e.g. social media post, frequency of meeting along with minutes of the meeting).
e	Develop a management system that prevents corruption and unethical behavior, and communicates compliance guidelines and potential conflicts of interest (side-line jobs, acceptance of gifts, prejudices, incapabilities) to employees (e.g. Code of ethics, CoI, Corruption risk management (CRM) report).

Sub Criterion 1.3 - Inspire, motivate and support people in the organization and act as a role model		
	a	Inspire innovation-driven leadership culture based on mutual trust and openness through formal and informal feedback systems (e.g. LFS report, Coaching/Mentoring session, grievance redressal system).
	b	Lead by example in accordance with established objectives and values (e.g. integrity, sense-making, respectfulness, participation, innovation, empowerment, precision, accountability, agility, LFS report).
	c	Promote a culture of mutual trust between leaders and employees with proactive measures to counter any kind of discrimination, encouraging equal opportunities and addressing individual needs and personal circumstances of employees (e.g. regular staff meeting, Creché, Equal HRD intervention, LS (Coaching and mentoring), HRD Report, physical verification(creché), Minutes/schedules of Meeting).
	d	Inform and consult employees regularly on key issues related to the agency (e.g. Minutes of Meeting (MoM)).
	e	Empower and support employees with clear, constructive & timely feedback in order to improve their performance (e.g. LFS report, Coaching and Mentoring).
Sub Criterion 1.4 - Manage effective relations with political authorities and other stakeholders		
	a	Analyze and monitor the stakeholders' (e.g. line Civil Service Agencies, CSOs, NGOs, clients) needs and expectations including relevant political authorities (e.g. Cabinet, elected leaders of Local Government, Parliamentarian, Consultative meetings (MoM)).

b	Align the agency's performance to a five year plan/relevant plan, public policies and government decisions based on established systems, Acts, regulation and any other relevant documents (e.g. APA/APT, five year plan/relevant plan documents).	
c	Maintain cordial relations with the political authorities from the appropriate executive and legislative areas to ensure apolitical nature of civil service (e.g. Minutes of PPCM (Policy and planning coordination meeting), DT/GT/TT (Dzongkhag Tshogde/Gewog Tshogde/Thromde Tshogde)).	
d	Manage partnerships with important stakeholders (e.g. citizens, non-governmental organizations, interest groups and professional associations, industry, other public authorities, etc.) through consultative meetings (MoM), IWP/Leadership Statement etc.	
e	Raise public awareness, reputation and recognition of the agency (e.g. social media post).	
Criterion 2: - Strategy and Planning - Consider what the organization is doing to achieve the following.		
Sub Criterion 2.1 - Identify the needs and expectations of the stakeholders, the external environment and the relevant management information		
a	Observe and analyze the external environment regularly including legal, economic, political, demographic change and digitalisation, as well as global factors like climate change (e.g. Agency's mandates, MoM, PPD report, ODE report, Risk Management Framework).	
b	Identify all relevant stakeholders and analyze the needs and expectations of them (e.g. customer-satisfaction analysis, regular communication with stakeholders, surveys, official correspondence, in-house meetings).	

c	Analyze strengths and weaknesses of the agency regularly (e.g. AQAF, ODE, Audit reports (RAA, HR audit, internal audit report), OCS (organizational climate survey)).	

Sub Criterion 2.2 - Develop strategies and plans based on gathered information

a	Develop the strategy of the agency capturing both long and short term priorities and goals in line with the vision and mission (e.g. VMO, Strategy document, APA/APT, Leadership statement).
b	Involve employees and stakeholders in the development of strategies and plans (e.g. consultative discussion with employee (MoM), FGD).
c	Integrate aspects of sustainability, social responsibility, diversity and gender mainstreaming in the strategies and plans of the agency (e.g. MoM, VMO, strategy document -APA/APT, leadership statement).
d	Develop plans by defining priorities, objectives and outputs (the products and services provided) and outcomes in line with the mission (e.g. five year plan, APA/APT, Strategic framework of the agency).
e	Ensure the availability of resources and cost effective monitoring plan for prudent use of resources for an effective implementation of the plans (e.g. Budget Utilization Plan & reports, Approved Budget/revised budget, Plan document (12th FYP), Annual procurement plan, SuFA, Cost-Benefit Analysis).

Sub Criterion 2.3 - Communicate, implement and review strategies and plans.

a	Cascade the strategies of the agency into relevant plans, tasks and targets for Department/Division/Sector and individuals (e.g. IWP/Leadership Statement, APA/APT, 12th FYP).

b	Communicate strategies, performance plans and intended/achieved results of the agency internally and to all relevant stakeholders (e.g. E-mail by Head to subordinates, development of outputs for planning IWP, official correspondence/ websites (stakeholders)).
c	Monitor and evaluate the performance of the agency at regular intervals (e.g. Mid term review (APA), IWP review, end of the year APA Evaluation).
Sub Criterion 2.4 - Manage change and innovation to ensure the agility and resilience of the organization.	
a	Identify needs and drivers for innovation considering the opportunities, risk and pressure of digital transformation (e.g. Change requested for update/enhancement of Information systems like ZESt, EDATS, e-PEMS, Smart Processes).
b	Develop and communicate the agency's innovation policy and results to all relevant stakeholders (e.g. Notification/email on implementation of new systems)
c	Build an innovation-driven culture and create scope and space for cross agency development (e.g. cooperation and joint projects with similar organizations, pilot-projects, bench learning/marking, MoU, MoM, observable practices in the agency).
d	Implement systems for generating creative ideas and encourage innovative proposals from employees and stakeholders (e.g. annual employee appraisal, employee survey, suggestion box, complaint management, coaching, reward & recognition system, Interview and/or FGDs, Grievance redressal system, physical verification, brochures).
Criterion 3: - People - Consider what the organization is doing to achieve the following.	
Sub Criterion 3.1 - Manage and improve human resources to support the strategy of the organization	

a	Analyze current and future human resource needs in line with the strategy of the agency (e.g. HR requisition, staff assessment and projection).
b	Develop and implement a transparent HR policy based on recruitment, promotion, remuneration, development, delegation, responsibilities, rewards and the assignment of managerial functions, in accordance with the organization's HR principles, Civil Service Act of Bhutan and Bhutan Civil Service Rules and Regulation (BCSR) (e.g. HR audit report, SuFA report, HR guidelines of the agency (e.g: transfer guidelines)).
c	Implement the principles of fairness, apolitical, merit based, equal opportunities, diversity, social responsibility and work–life balance in the HR policy and review the necessity to support women's careers and develop plans accordingly (e.g. HR audit report, sports activities/picnic/meditation/yoga/voluntary activities, HRC Minutes, COI declared, Parent Agency Framework, Competency Framework).
d	Ensure the necessary competences and capabilities, especially focusing on social skills, agile mindset, and digital and innovation skills (e.g. CBF/HRD plans in place/not, Training report).
e	Support a performance culture by defining performance goals shared with the people and monitoring the performance systematically, and conduct performance dialogues (performance coaching and mentoring) with the people (e.g. LFS, IWP, Objective criteria for moderation, coaching/mentoring schedule (record of when and with who it was conducted)).
Sub Criterion 3.2 - Develop and manage competencies of people	
a	Implement a human resource development strategy/plan based on identified current and future competence, skills and performance requirements of people (e.g. CBF/HRD Plan implemented or not).
b	Implement a human resource development strategy/plan based on identified current and future competence, skills and performance requirements of people (e.g. CBF/HRD Plan implemented or not).

c	Establish individual competence development plans including personal skills (e.g. openness for innovation) as part of the regular performance interview (employee development interview) which provides a forum for mutual feedback and matching expectations (e.g. Individual competence development plans/Individual development plan).
d	Guide employees by means of mentoring, coaching and individual counseling (e.g. coaching/mentoring/counseling schedule - record of when and with who it was conducted)).
e	Assess the impacts (individual or organizational level) of training and development programmes and transfer of content to colleagues (e.g. Email/session ppts/pictures/program schedule).
Sub Criterion 3.3 - Involve and empower the people and support their well-being	
a	Promote a culture of open communication and dialogue and encourage teamwork (e.g. feedback systems, cross cutting teams (e.g. CFT -Critical Feedback Team), In-house meetings).
b	Involve employees and their representatives in the development of plans, strategies, goals, the design of processes and in the identification and implementation of improvement and innovation activities (e.g. MoM).
c	Regularly conduct staff surveys, present the findings to management and get feedback on the derived improvement actions (e.g. employee satisfaction survey analysis report/OCS Report, improvement activities/way forward plans).
d	Ensure good working environment throughout the agency including taking into account all health and safety requirements (e.g. good working condition equipment's, office space, good internet facility with provision for Wi-Fi, gender based toilet, cleanliness of office space and toilets (including canteen if any), provision of clean drinking water, Disaster Management Contingency Plan).

e	Ensure that conditions are conducive to achieving a reasonable work–life balance for employees (e.g. the possibility to adapt working hours, people on maternity or paternity leave, initiation of flexi timing for the individual (mother), sanction of eligible leave, crèche).
f	Pay particular attention to the needs of socially disadvantaged employees and people with disabilities (e.g. barrier free access to office space and toilet, surveys, panel/committee composition, equipment, support desk focal identified/not).

Criterion 4: - Partnerships and Resources - Consider what the organization is doing to achieve the following.

Sub Criterion 4.1 - Develop and manage partnerships with relevant organizations

a	Identify key partners from the private public sector and civil society to build sustainable relationships based on trust, dialogue and openness (e.g. list of key partners / definition of partner: organization with which there is working relationship with and is active (e.g. other public organizations, NGOs, education organizations, private providers)).
b	Manage partnership agreements to support one another with expertise, resources and knowledge (e.g. contract agreement sharing expertise, resources and knowledge with the key partners).
c	Define each partner's role and responsibilities including controls, evaluations and reviews, monitor results and impacts of the partnerships systematically (e.g. Contract Agreement/Term of Reference (ToR) of the key partners including controls (line of reporting, accountability and segregation of duties)).

Sub Criterion 4.2 - Collaborate with citizens and civil society organizations

a	Ensure transparency by a proactive information policy (e.g. updated info on the website and social media, communication Plan/SOP for

		communication plan).
	b	Actively encourage participation and collaboration with citizens/CSOs: co-decision making, co-designing, co-produce and co-evaluation (e.g. reports).
	c	Actively seek ideas, suggestions and complaints of citizens/customers, appropriate means (e.g. surveys, consultation groups, questionnaires, online feedback system).
Sub Criterion 4.3 - Manage finances		
	a	Ensure financial resilience through long-term budget planning (5 years planning), risk analysis (risk analysis is the study of underlying uncertainty of a given course of action) of financial decisions and a balanced budget (e.g. Balanced Budget Revenue=Expenditure, Refer 12th FYP document, Risk Assessment Framework).
	b	Use effective financial cost accounting and controlling, and evaluation systems (e.g. e-PEMS - Electronic Public Expenditure Management System, e-DATS - Electronic Daily Allowance and Travel System, MYRB - Multi-Year Rolling Budget, Internal Audit Report, control mechanism, allocation of block grant).
	c	Delegate and decentralize financial responsibilities and balance them with central controlling (e.g. e-PEMS - Electronic Public Expenditure Management System, e-DATS - Electronic Daily Allowance and Travel System, MYRB - Multi-Year Rolling Budget, Decentralization at Agency Level, Control Mechanism).
	d	Ensure budgetary and financial transparency and share the budget information in an easily understood way with the management/employees (e.g. notification on the approved budget, communication Plan/SOP communication plan).
Sub Criterion 4.4 - Manage information and knowledge		

a	Provide systems and methods for the preparation of knowledge (e.g. cloud-sharing, central server, Database, folder structure, internal documentation, checklists, forms, manuals, guidelines etc.).
b	Establish learning and collaboration networks to acquire relevant external information and also to gain creative inputs (e.g. organization culture conducive for learning, networking and creativity, intuitional linkages).
c	Monitor the agency's information and knowledge, ensuring its relevance, correctness, reliability and security (e.g. annual report and statistical report, information on the web).
d	Develop internal channels to ensure that all employees have access to the relevant information and knowledge. (e.g. document management, file organization, storage systems, Google Drive).
e	Promote knowledge transfer between people in the agency (e.g. coaching and mentoring, working groups, in-house-trainings, workshops, new info in service meetings or employee information).
f	Ensure access to and exchange of relevant information of the agency with all external stakeholders in a user-friendly way, taking into account the specific needs (e.g. website, social media, annual report, brochures, stakeholder involvement).
g	Ensure that key (explicit and implicit) knowledge of employees who are leaving is retained within the agency (e.g. exit interviews, interview questionnaire and interview verbatim, handing over of files and documents).
Sub Criterion 4.5 - Manage technology	
a	Design technology management in accordance with the strategic and operational objectives, and monitor its effect, cost-effectiveness and impact systematically (e.g. ICT leverage for processes and to deliver services, process leaning, SOP and reduced TAT, digitalization and automation plan etc.).

b	Identify and use new technologies (e.g. big data, automatisation, robotics, AI, data analytics, etc.) relevant for the agency, implementing open data and open source application whenever appropriate (e.g. check the system is in place, Open-Source Application- programs are made available online where users can customize etc.).
c	Use technology to support creativity, innovation, collaboration (e.g. using cloud services or tools- G-Suite) and participation (e.g. Slido, Mentimeter, Padlet).
d	Use new technologies to improve internal and external services to meet the needs and expectations of stakeholders through automated systems in place (e.g. service apps, complaint management etc.).
e	Take actions to provide effective cyber security. Actions like Protection of computers and theft of information (e.g. antivirus, improve cyber security literacy among staff, blocking of unnecessary websites etc.).
Sub Criterion 4.6 - Manage facilities	
a	Ensure sustainable provision and maintenance of all facilities like buildings, offices, facilities, energy supply, equipment, means of transport and materials (e.g. GIMS- Government Inventory Management System, physical verification of assets, Focal for property management etc.).
b	Provide safe and effective working conditions and use facilities, including barrier-free access in order to meet employees and customers' needs (e.g. barrier-free access-providing proper access to and appropriate facilities in an agency for persons with a disability and other sectors of the population including the elderly.).
Criterion 5: - Processes - Consider what the organization is doing to achieve the following.	
Sub Criterion 5.1 - Design and manage processes to increase value for citizens and customers	

a	Design lean processes around customer needs and make it available to the employee in a documented form (e.g. process document which is easily accessible to the employee and Customer etc.).	
b	Identify process owners (the people who control all the steps in the process) and assign responsibilities and competences to them (e.g. process document identifying the process owner and the competency required for that position).	
c	Match the processes on a regular basis to the needs and expectations of customer, employees and other relevant stakeholders (e.g. Customer/Organization Satisfaction Survey matched with process document etc.).	
d	Evaluate processes, risks and critical success factors regularly, taking into consideration the changing environment (e.g. process review report).	
e	Simplify the processes on a regular basis, proposing changes in the legal requirements if necessary (e.g. process document).	
Sub Criterion 5.2 - Deliver products and services for customers, citizens, stakeholders and society		
a	Design the products and services of the agency including risk assessment (e.g. products and services listing with indication of new product and services made easily accessible to all stakeholders, project proposal for new projects, risk assessment report).	
b	Use innovative methods for developing customer-oriented and demand-driven public services and focus on examples like the once-only principle (e.g. Complaint and Feedback vs Changes Implemented, services digitalized and integrated).	
c	Involve citizens/customers and other stakeholders in the design and delivery of products and services, and in the development of quality standards (e.g. documents indicating the involvement of citizens/customers and other stakeholders ETC:).	
d	Promote the products and services and ensure accessibility of appropriate information to assist citizens and customers (e.g. on the website,	

		at relevant conferences, marketing material etc.).
	e	Use customer surveys, complaint management procedures and other forms of feedback to identify potentials for optimizing processes, products and services (e.g. Customer Survey Results, Complaint and Feedback vs Changes Implemented).
Sub Criterion 5.3 - Coordinate processes across the organization and with other relevant organizations		
	a	Create a culture for working across agencies in the cross cutting process management, getting out of a silo mentality (e.g. check life cycle of the process or services if it has any level of integration etc.).
	b	Define the agency's service delivery chains and its relevant partners (e.g. process document indicating the delivery chain and relevant partners).
	c	Agree on common standards to facilitate data exchange and shared services (e.g. signed off process document etc.).
Criterion 6: - Citizen/Customer-oriented Results - Consider what the organization has achieved to meet the needs and expectations of customers and citizens through the results of the following.		
Sub Criterion 6.1 - Perception measurements (Employee Satisfaction Survey report/OCS Report)		
	a	General perception of the agency (e.g. overall image, accessibility, customer orientation of employee, digitalisation in the agency, involvement and participation of the citizen/customer etc.)
	b	Perception of the services and products (e.g. quality).
Sub Criterion 6.2 - Performance measurements		

a	Results regarding the quality of products and services (e.g. waiting time, complaints, suggestions received, Customer survey, Feedbacks received vs implemented etc.) to be based on the document submitted for APA evaluation, System generated report on the time taken.
b	Results regarding transparency, accessibility and integrity (e.g. number of information channels, website users, opening hours, costs of services, website and social media sites, CoI forms signed, Ethics & integrity reports of ACC (OIP - Organizational Integrity Plan scores)).

Criterion 7: - People Results - Consider what the organization has achieved to meet the needs and expectations of its people through the results of the following.

Sub Criterion 7.1 - Perception measurements (Employee Satisfaction Survey)

a	General perception of the agency (e.g. image, involvement of staff, awareness for conflict of interests etc.).
b	Perception of the management and management systems (e.g. leadership skills, division of tasks, internal communication, recognition of individuals and teams, challenging assignments to enhance their capacities etc.).
c	Perception of the working conditions (e.g. working atmosphere, facilities) and wellbeing of employees.
d	Perception of the career and skills development.

Sub Criterion 7.2 - Performance measurements

a	General people's results (e.g. loyalty/retention, motivation, involvement, ethical dilemmas, frequency of voluntary participation in the context of activities related to social responsibility, attrition rate, declaration of conflict of interest, no. of complaints etc.).

b	Results regarding individual performance and capacities (e.g. individual performance, use of digital information and communication tools, IWP/LS, use of G-Suite (G-Drive, Docs, Sheets, Forms, Calendar, Hangout etc), DITT statistics, Microsoft Office (Excel, Word and PowerPoint), relevant software (Zoom, Skype, SPSS), training Needs Analysis and exploration of training opportunities, STT and LTT availed).

Criterion 8: - Social Responsibility Results - Consider what the organization is achieving regarding its social responsibility, through the results of the following.

Sub Criterion 8.1 - Perception measurements

a	The reputation of the Agency as a contributor to the local community/Any other social agenda (e.g. Survey results).
b	The Agency's impact on the transparency, ethical behavior, the rule of law, openness and integrity (e.g. Organization Integrity Plan Score (OIP) conducted by ACC/Integrity Diagnostic Test Score (Done by HRO) etc.).

Sub Criterion 8.2 - Performance measurements

a	Available internal indicators (e.g. the number of the agencies-projects to increase wellbeing, number of cooperation projects, number of programmes to prevent health risks and accidents for citizens/customers, number of programmes dedicated to socially disadvantaged and underprivileged citizens, number of activities to preserve and sustain resources, budget document to check how many budget is allocated to such activities/Physical verification for structural plans).

Criterion 9: - Key Performance Results - Consider the results being achieved by the organization, in relation to the following.

Sub Criterion 9.1 - External results: output and public value

a	The results/outputs of the organization agency are measured (e.g. listed in APA/APT, APA/APT score from NTC etc.).

b	The effects/outcomes of the agency are measured (e.g. effects of the services and products on the target group) by means of feedback, complaints received, survey conducted on clients/stakeholders and APA/APT score. (e.g. client/stakeholder feedback, complaints, surveys, APA/APT (get from GNHC the evaluation report nomenclature) etc.).	
c	The degree of achievement of contracts/agreements between authorities and the agency (e.g. agreement with the partners and APA/completion report).	
d	Results of external inspections and performance audits (e.g. RAA report).	
Sub Criterion 9.2 - Internal results: level of efficiency		
a	Internal indicators measure the efficiency of the agency in managing the available resources including people, knowledge and facilities (e.g. Organization Climate Survey/Focus Group Discussion/Employee Satisfaction Survey, HR Audit Report/Internal Audit Report).	
b	Results of internal inspections and audits (e.g. Internal Audit Report/Department Inspection Report/HR Audit Report).	
c	Results of participation in competitions, quality awards and the quality management system certification (e.g. Benchmarking/Certification based on international standard/BSB/BAFRA).	
d	Results of fulfillment of budgets and financial targets (e.g. Internal Annual Budget performance report).	

			Work Implementation Team Members for AQAF			
Sl. No	Name	Position Title	Sector	Email	Mobile No.	Role
1						**Team Leader**
2						**Co-Leader**
3						Member
4						Member
5						Member
6						Member
7						Member
8						Member
9						Member
10						Member
11						Member
12						Member
13						Member
14						Member
15						Member
16						Member

(*Insert the Name of Agency*)

Agency Quality Assessment Framework

Date: *…*

TABLE OF CONTENTS

INTRODUCTION

Agency Quality Assessment Framework (AQAF) is a self-assessment tool that enables employees and managers to jointly evaluate and self-assess their own organization and define its strengths, improvement areas and improvement actions. It is adopted from European CAF (Common Assessment Framework) 2020. It consists of 9 criteria, 28 subcriteria and 108 examples. These criteria form the basis for the assessment across the Civil Service in Bhutan. While the 9 criteria and 28 sub criteria remain the same, the example questionnaires were contextualized to the needs of the Bhutanese Civil Service, using references such as Support Function Assessment (SuFA) and Leadership Capability Framework (LCF).

The objective of AQAF is to promote organizational excellence, enhance service delivery and embed the culture of continuous improvement in the Civil Service. Using AQAF, a comprehensive and quick analysis of the whole organization can be carried out, enabling the organization to detect their current quality position and identify potentials for improvement and elaborate implementing measures to reach to their envisioned state, thereby ensuring continuous improvement of organizations. Thus, AQAF enables organizations to obtain comprehensive organization checks and define improvement actions. All the recommendations are subject to evaluation by the Human Resource Audit Division (HRAD), RCSC after a 2 year period.

METHODOLOGY

The identified work implementation team *(Annexure 1)* was trained on usage of AQAF tools by RCSC. The work implementation team carried out individual assessment, then identified the strength, improvement areas and improvement actions of the agency. The findings of AQAF are attached *(Annexure 2).*

Two days consensus workshop was conducted where the team came into common agreement of the agency's strength, improvement areas & improvement actions. Based on the agreed findings, the work implementation team prioritized most important improvement actions and accordingly, developed recommendations for the agency during the improvement action plan workshop.

FINDINGS & RESULTS

The following number of strengths, improvements areas and improvement actions were identified for each criteria by the work implementation team as mentioned below:

Criteria	Strength	Improvement Areas	Improvement Actions
1. Leadership			
2. Strategy and Planning			
3. People			
4. Partnerships and Resources			
5. Processes			
6. Citizen/Customer-Oriented Results			
7. People Results			
8. Social Responsibility Results			
9. Key Performance Results			
Grand Total			

1. Leadership	4. Partnership	7.People
2. Strategy & Planning	5. Processes	8. Social Responsibility
3. People	6. Citizen/Customer oriented result	9. Key Performance Result

The above graph shows the average AQAF score of ***inserting the agency name.*** The scores were based on the discussions and results in the consensus workshop by the members of the AQAF work implementation team. For the enabler criteria we are in ….. Phase with an average score of …… For the result we are …… with a score of …

CONSOLIDATED RECOMMENDATIONS

Following recommendations were identified by the work implementation team for implementation in 2 years and was accordingly endorsed by the (*insert HRC no.*) HRC meeting on…*(insert date).*

Sl. No.	Recommendations	Focal (Name, EID, Position title)	Team (Name, EID, Position title)	Completion deadline for Recommendations

QUICK WINS

A total of … quick wins are identified. The quick wins have been identified considering the people, resources required and achievable within a 3 months period. The quick wins are as follows:

Quick-Wins (To be Implemented within 3 months)		Focal

RECOMMENDATIONS

I. RECOMMENDATION TITLE:				
Description of the Objective and activity	**Completion deadline**	**Complexity (low, medium, high)**	**Focal Person/team**	**Sub-Criteria**
Objective:			Focal: Name (EID), Position Title Team: Name (EID), Position Title	
Activities				

REMAINING AQAF Actions

The following list highlights the remaining *(insert no.of remaining improvement actions)* suggestions for improvement areas which may be undertaken in the future after the implementation of the *(insert nos.)* quick wins & *(insert nos.)* recommendations.

SI No.	Improvement actions	Sub-criteria

Agency Quality Assessment Framework (AQAF): *Insert name of Agency*					
Agency Quality Assessment Framework (AQAF) was carried out in the ... from ... to ....For this, the RCSC has trained ... work implementation team and after three consecutive workshops came up with ... recommendations and ... quick win. The ... had prioritized and Commission approved ...recommendations and ... quick wins. All the recommendations are subject to evaluation by the Human Resource Audit Division (HRAD), RCSC after a 2 year period.					
Implementation Status of the Recommendation					
Total Recommendations					
Implemented					
Not Implemented					
Sl. No.	Recommendations *(Approved by ... Commission dated ...)*	Recommendations Focal	Completion deadline	Remarks of the Agency on the implementation status	Implementation status by HRAD *(Assessed as of ...)* (Approved by ... Commission dated ...)
I	Recommendations Title Objective:				
II	Recommendations Title Objective:				

III	**Recommendations Title** **Objective:**			
Iv	**Recommendations Title** **Objective:**			
v	**Recommendations Title** **Objective:**			
	QUICK WINS			
1				
2				

HR Audit Tool Kit

HR Audit Tool Kit (Google Drive – HR AUDIT DOCUMENT – HR Audit Manual)

For the HR Audit team, a tool kit has been prepared and includes the following materials, template, checklists and reference which is maintained is uploaded on google drive:
 	
√ BCSR
 	
√ Position Directory
 	
√ Approved FY Plan Staffing and HR Standards
 	
√ Formulas
 	
√ To Do List
 	
√ **Compliance Report Templates:**
 	
    √ Master List templates
 	
    √ Draft Compliance report template
 	
    √ Summary
 	
    √ HR Audit Checklist for HR Actions
 	
    √ Checklist for draft HR Audit report
 	
    √ Checklist for final HR audit report
 	
    √ Final Compliance report template
 	
√ **Strategic Report Template**
 	
    √ AQAF report template
 	
    √ Consolidated Annexures for recommendations