The PAHRDF Capacity Development Model and its Applicability across Various Types of Institutions

Report on Large Institutions

Australian Government
AusAID

PHILIPPINES - AUSTRALIA
HUMAN RESOURCE DEVELOPMENT FACILITY
An Australian Government, AusAID initiative
w w w . p a h r d f . o r g . p h

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Abbreviations

AI	Appreciative Inquiry
BEAM	Basic Education Assistance for Mindanao
BESRA	Basic Education Sector Reform Agenda
DAS	Australia-Philippines Development Assistance Strategy
DBM	Department of Budget and Management
DepEd	Department of Education
DPWH	Department of Public Works and Highways
FAB	Facility Advisory Board
FEC	Facility Executive Committee
FGD	Focus Group Discussion
HRMD	Human Resource Management and Development
LTT	Long Term Training
LGUs	Local Government Units
M and E	Monitoring and Evaluation
MTDP	Medium-term Development Plan
NEDA	National Economic Development Authority
NGA	National Government Agency
PAHRDF	Philippines Australia Human Resource Development Facility
REAP	Re-Entry Action Plan
STT	Short Term Training

Annexes

A   Organizational Profile of Four Agencies

B   Compilation of Data Gathering Reports for Large Institutions

I. Introduction

A. Overview of the PAHRDF

In August 2004, the Governments of Philippines and Australia launched the Philippines Australia Human Resource Development Facility (PAHRDF). Set to operate for five years, the Facility's overarching goal is to contribute to poverty reduction and sustainable equitable development in the Philippines. This goal supports the Australia-Philippines Development Assistance Strategy's (DAS) thrust to contribute to improving the prospects for economic growth, poverty reduction, and national stability in the country.

PAHRDF's specific purpose is to build and enhance the capacity of targeted organizations in service delivery, in the application of high quality administrative governance, and in people and organizational development including the field of Human Resource Management and Development (HRMD). Developed competencies in these areas are envisioned to directly translate to enhanced organizational capacities that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.

A Facility Advisory Board (FAB) provides strategic directions and a Facility Executive Committee (FEC) oversees the management of PAHRDF. The Facility uses a set of FAB-approved criteria to determine potential partner organizations that are most likely to implement and sustain the gains of assistance. The criteria include two categories – strategic and process. The strategic criteria focus on potential partner organizations' alignment to the Medium-term Development Plan (MTDP) of the Philippine Government and the Australia-Philippines DAS. The process criteria include organizational factors that are necessary for the assistance to succeed (i.e., vision and change agenda; executive sponsorship; willingness to undergo change; absorptive capacity; and visible and functioning HR systems). The criteria are reviewed every year to consider new development initiatives and priorities.

The Facility embraces two major delivery modes in its HRD interventions: Long Term Training (LTT) and Short Term Training (STT) /HRD support activities. PAHRDF has adopted workplace training as its main delivery approach for these interventions to facilitate the progression and translation of acquired competencies at the individual level to enhanced organizational capacity and improved service delivery.

Over the years of its operation, PAHRDF has partnered with 36 public sector and private organizations and local government units (LGUs), and 17 schools under the Basic Education Assistance for Mindanao (BEAM) project (an Aus-AID supported project of the Department of Education in Regions 11, 12 and the ARMM).

Among the 36 public sector agencies are four national government agencies that are considered to be integral to the implementation of the DAS: Department of Budget and

Management (DBM), Department of Education (DepEd), Department of Public Works and Highways (DPWH), and the National Economic Development Authority (NEDA).

B. The PAHRDF Capacity Development Model

- The PAHRDF Capacity Development Model (Box 1) can be viewed as a dynamic system of interrelated components and processes. The system advances the Facility's purpose to build and enhance the capacity of partner organizations so that they are better able to improve processes and systems that will impact on the quality of services to clients, eventually contributing to poverty reduction and sustainable equitable development.

- PAHRDF embraces two modes of HR intervention (i.e., Long Term Training or LTT, and Short Term Training or STT) to strengthen the partner organizations in three capacity areas: 1) Service delivery; 2) Administrative governance; and 3) People and organizational development.

- The model derives its strength from two fundamental pillars of meaningful capacity development: strategic alignment and sustainability. As such, the partner organizations' development and internal change agenda drive all interventions which are identified, designed, and implemented through a highly purposive and participative process. Sustainability attributes (i.e., Competencies; Accountability and ownership; Consistency of Practice; and Continuous improvement) in the targeted capacity areas are pre-determined so that stakeholders are easily able to track the organizations' progress during and after the PAHRDF engagement.

- A key element of the PAHRDF Capacity Development Model is the Workplace Training Approach, which is anchored on the principles of adult learning and strategic alignment. Embedded in the approach is a Five-step Quality Process:
  1. Organizational Profiling and HR Analysis
  2. Formulation of Workplace Development Objectives
  3. Focus on Key Functional Units and Individuals
  4. Intensive Training with Coaching and Mentoring Support
  5. Re-entry Action Planning

  This process ensures that enhanced capacities at the individual level are immediately applied in the workplace through the preparation of outputs that are intended to lead to improved processes and systems. The preparation and implementation of a Re-entry Action Plan (REAP) facilitates the institutionalization of processes and systems, and influences the delivery of better quality services to the organizations' clients.

Box 1. The PAHRDF Capacity Development Model
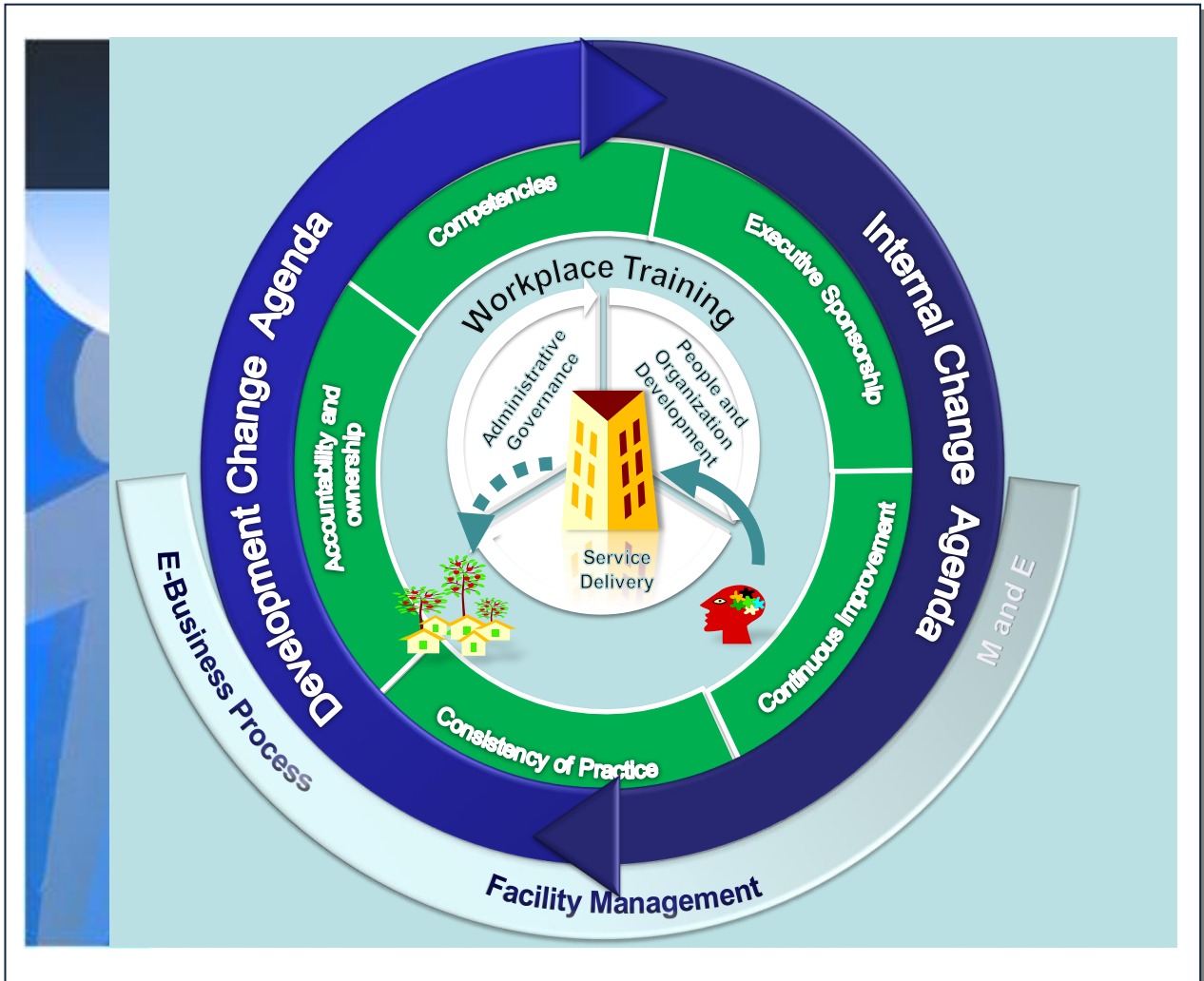
- The operationalization of the model is supported by a set of enabling mechanisms that ensures consistent adherence to the Facility's capacity development principles and approach. A team of specialists and support staff orchestrates and oversees execution of the Facility's mandate as it partners with key stakeholders and organizations. A comprehensive Monitoring and Evaluation (M and E) system generates information that keeps stakeholders abreast of organizational performance in the targeted capacity areas. Providing the platform for the efficient exchange of information and the transparent conduct of business transactions is the Facility's web-based database system.

C. Rationale and Objectives of the Study

Since its commencement in 2004, the Facility has continuously sought to improve the processes, mechanisms, and HR/OD conceptual frameworks that support its LTT and STT interventions. While the Facility is able to record these innovations in various documents, there is no holistic or quintessential document that captures PAHRDF's Capacity Development Model. Further, although the Facility has always solicited feedback from its different stakeholders on the effectiveness of its approach, there has been no dedicated research on this.

The present report is part of a bigger study entitled *The PAHRDF Capacity Development Model and its Applicability across Various Types of Institutions.* The study is envisioned to provide a meaningful and disciplined mapping of the underlying program theory that has guided the Facility's capacity development initiatives from the stages of diagnosis, planning, implementation, monitoring and evaluation. Specifically, the study aims to:

1. Consolidate an in-depth technical description of the Facility's Capacity Development Model

   This entails: a) a review of capacity development literature; b) an inventory of capacity development models being used by donors and the public sector; and c) an in-depth review of the Capacity Development Model that constitutes the Facility's approach.

2. Assess the effectiveness of PAHRDF Capacity Development Model in various modes and parameters of its use

   Three questions are to be answered under this objective: a) "Does the model work?" b) "What elements of the model work?" and c) "Under what particular circumstances does the model work?"

This report aims to answer the second objective, specifically focusing on the model's applicability to the four large institutions (i.e., DBM, DepEd, DPWH, and NEDA). The study is also in consonance with the PAHRDF Strategic Review Team's (SRT) recommendation to conduct "an independent formative evaluation of the effectiveness of PAHRDF engagements with the newly engaged large national institutions - DepEd, DPWH, DBM and NEDA – with a view to testing the extent to which the PAHRDF model can be scaled up by working with units within large national agencies."[1]

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[1] Strategic Review of the Philippines-Australia Human Resource Development Facility (PAHRDF), Final Report, 26 October 2007.
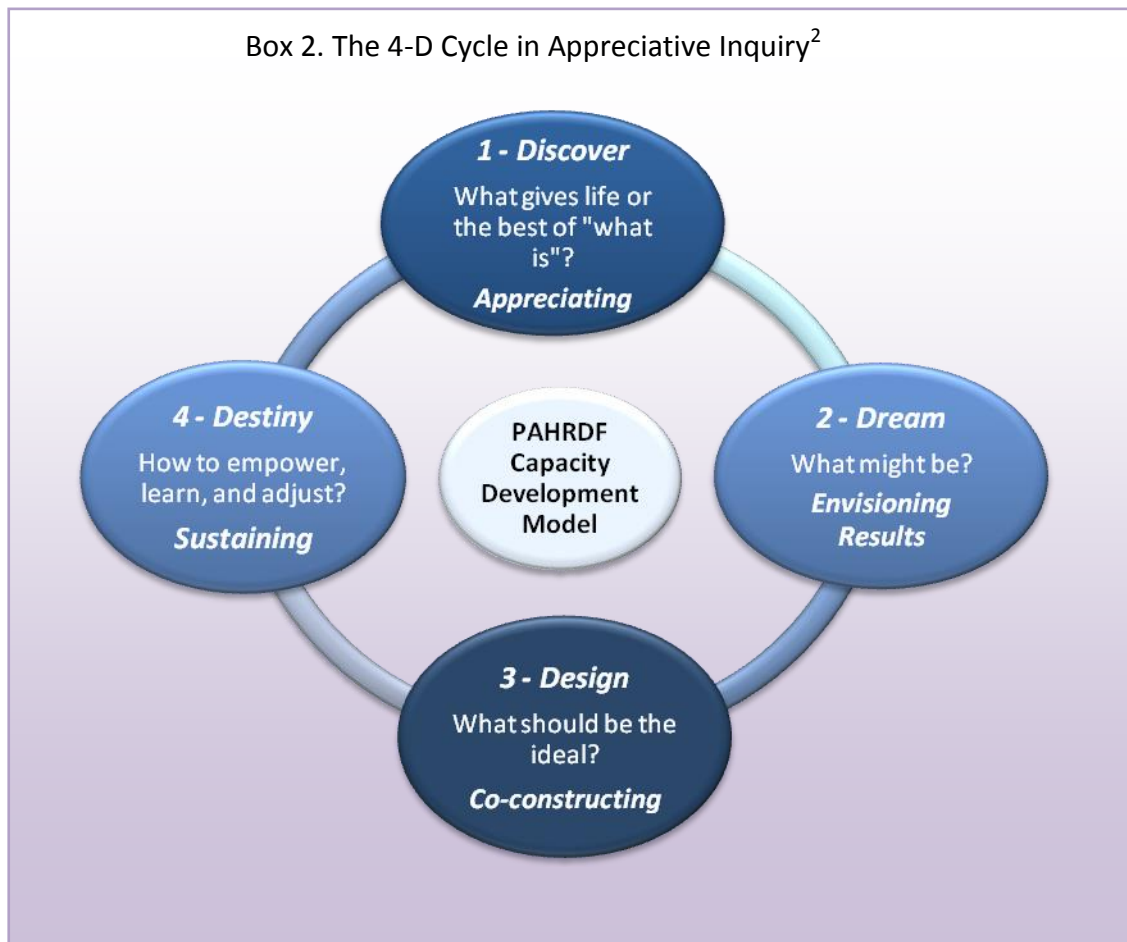
II. Research Framework and Methodology

A. Appreciative Inquiry as Research Framework

The study was anchored on the Appreciative Inquiry (AI) Framework. An accepted approach in the evaluation and execution of organizational development strategies, the AI framework provided both a logical map and a creative process for conducting the research. The study capitalized on the key AI elements of creative participation and positive focus to achieve its objectives, particularly in assessing the effectiveness of the PAHRDF Capacity Development Model in various modes and parameters of its use.

The study followed a modified version of what is known in AI language as the 4-D Cycle: Discovery – Dream – Design - Destiny.

Box 2. The 4-D Cycle in Appreciative Inquiry[2]

1 - Discover
What gives life or the best of "what is"?
Appreciating

4 - Destiny
How to empower, learn, and adjust?
Sustaining

PAHRDF Capacity Development Model

2 - Dream
What might be?
Envisioning Results

3 - Design
What should be the ideal?
Co-constructing

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[2] David L. Cooperrider and Diana Whitney. *Appreciative Inquiry (A Positive Revolution in Change),* Berret-Koehler Publishers, Inc., 2005.

The use of the 4-D Cycle of Appreciative Inquiry allowed the data gathering to flow from an assessment of the current configuration and applications of the Capacity Development Model, to a synthesis of recommendations on its best possible applications. Being an assessment process, Step 2 was tweaked so that data gathering can focus on the partners' vision from the partnership and the tangible gains that have been achieved (rather than a design vision for the model which was instead covered in Step 3). Likewise, to ensure that there will be a more explicit discussion on the weaknesses or improvement areas of the PAHRDF Capacity Development Model, Step 3 was modified to include questions on factors and conditions that hindered the achievement of desired results from the partnership with PAHRDF.

Box 3. Focus of Data Gathering using the Modified AI 4-D Cycle

1 - Discover
- Defining and outstanding features of the PAHRDF Capacity Development Model
- Strengths of the PAHRDF Capacity Development Model

2 - Dream
- End in mind or objective in the engagement with PAHRDF
- Tangible gains from the PAHRDF engagement

3 - Design
- Conditions or factors that facilitated and supported the achievement of desired results
- Conditions or factors that hindered the achievement of desired results
- Insights and learnings from the application of PAHRDF Capacity Development Model
- Value-adding features and processes that can make the Capacity Development Model more relevant and effective

4 - Destiny
- Concrete recommendations/next steps to create the best version of PAHRDF Capacity Development Framework

B. Methodology

Three data gathering techniques were employed to generate the needed data and information:

1. *Secondary Data Analysis.* Relevant literature on capacity development initiatives was reviewed. As most donor agencies that are engaged in capacity development work have websites or have published their works electronically, the internet was a major source of materials for the review of literature. PAHRDF documents which have been made available by the Facility (i.e., Monitoring and Evaluation Reports, 2007 Report on the Strategic Review of the PAHRDF, and PAHRDF Annual Plans) were likewise a source of critical contextual inputs to the study.

2. *Focus Group Discussion (FGD).* Key informants from each of the identified sample partner organizations were assembled to share their inputs as PAHRDF partners. A separate session with the PAHRDF team was conducted. FGD sessions were facilitated by one of the study team members, while another documented the discussion. A set of questions along the AI 4-D Cycle guided the open exchange and sharing of experiences, opinions, and recommendations related to the Capacity Development Model. (*The AI Data Gathering Guide is attached as Annex A.)*

3. *Face-to-face Interviews.* Using the same AI Data Gathering Guide, some key informants from Training Service Providers (TSP) and partner organizations were interviewed. To prepare for the data gathering activities, the study team likewise interviewed the HR Advisers of partner organizations to better understand the unique context of the partners' engagement with the PAHRDF.

C. Sampling

All four national agencies were made part of the study. Two TSPs (IMPACT and Meralco Management and Leadership Development Centre) that have experienced working with the four agencies were engaged in conversations to provide information and insights in the operationalization of the model. The identification of key informants from the four agencies and the TSPs were done in coordination and consultation with PAHRDF.

III. Findings

A. Familiarity with the PAHRDF Capacity Development Model

- The four large agencies see how the model integrates the different factors required for capacity development to happen in an organization. Respondents were able to readily describe the interplay of factors contributing to developing capacities, both at the individual and organization levels. It is clear to the respondents that effective capacity development starts with the individual, cascades to the development of the organization, and eventually to improving peoples' lives. According to them, the definitions of the sustainability attributes further help in understanding the model and translating these into verifiable indicators in the organization.

> *Everything is in the model. It captures the development agenda and internal change agenda. It shows how increased capacities of individuals and the organization can translate to improved service delivery.*
>
> Burt Favorito
> *Director, DPWH*

- Asst. Secretary Jose Mateo of DepEd commented that it is a good model as it is always directed to the agenda of the organization. It gives a snapshot of the relationship between the Facility and the partner organization. It defines what the recipient is expected to do for capacity development to happen.

- The orientation sessions conducted by PAHRDF at the start of the partnership with agencies switch on the engagement process. The sessions are seen as necessary to secure buy-in and sponsorship among the agencies' executives and key stakeholders, and thus critical to the success of PAHRDF interventions.

- Participation of designated partner organizations' point persons and other stakeholders during organizational profiling and HR analysis was evident in all four agencies. For example, DPWH, through Director Favorito went through the process of defining the capacity level of the agency in order to identify appropriate STT and LTT interventions. As a result of consultations with all directors in the central office, agreement was made as to priority areas that were to be pursued. As DBM started its partnership with PAHRDF, senior officials (an undersecretary and directors from the Planning and Administrative Offices) participated in the planning process on how DBM's agenda can be leveraged in the partnership.

Respondents consider the following outstanding features as strength of the PAHRDF Capacity Development Model:

1. Organizational Profiling and HR Analysis

The review of the organizational anchors, e.g. vision, mission, goals, etc., during organizational profiling ensures alignment of the proposed interventions to the agency's agenda. Organizational profiling provides the focus and discipline needed to assess organizational context and gaps in a more accurate manner to ensure that planned interventions address actual needs. The process likewise elevates the process of training needs analysis from just diagnosing competency gaps of individual employees to assessing organizational needs that need to be addressed for it to pursue its development agenda. The organizational profiling and HR analysis is a key component that influences the strategic and targeted nature of PAHRDF interventions.

In the case of DBM for example, the organizational profiling and HR analysis process helped the agency identify the competencies that need to be developed so it can make the strategic shift from being mostly transactional in its operations to being a development partner and adviser to line departments and agencies (e.g., by providing a deeper analysis and evaluation of their budgets). At the start of the PAHRDF partnership, the DBM was also evolving its Rationalization Plan and was concerned about capacitating personnel who will take on technical work to replace personnel who will be leaving DBM once the Rationalization Plan was approved.

2. Customized Interventions

Partner organizations team up with PAHRDF in identifying customized interventions that are intended to upgrade the competencies of specific units and cohorts to introduce changes in the different capacity areas. The customization of interventions optimizes training investments and ensures that these address priority needs of partner organizations. Thus, training inputs directly contribute to building competencies that allow cohorts to produce outputs that are relevant and immediately utilizable. As the DBM respondents put it, "People are trained exactly on the competencies that they need to be able to do what they are supposed to do."

3. Targeted Selection of Participants

The PAHRDF Capacity Development Model requires a targeted approach in nominating participants to STT and LTT programs. Since the interventions are focused on improving specific capacity areas of the organization, the targeted selection of participants to both LTT and STT programs is very important. This ensures that people who are responsible for

developing, installing, and using the pre-identified outputs are capacitated to do so. The process likewise provides a more logical basis for identifying training cohort, thus departing from the practice (of some organizations) of sending participants to training programs either as a reward or as a temporary pre-occupation for non-contributing and thus dispensable staff.

4. Focus on HR

Because of the Facility's slant and entry point for change, more value and strategic importance is accorded to the role of HR management and development (HRMD) in organizational capacity development. PAHRDF's initial interventions are usually geared at strengthening first the partner organization's HR structure and processes and addressing immediate HR concerns and gaps. This slant can be viewed as part of PAHRDF's strategy for reinforcing sustainability of gains from the partnership, as the HR unit is seen as a focal office for pursuing and building on the PAHRD initiatives.

DPWH respondents articulated that the HR function has been long neglected. It is only now that HR is being given importance and its strategic value in pursuing the agency's change agenda is being recognized.

5. Workplace Training Approach and Process

One unique feature of the model that is acknowledged by the four agencies is the Workplace Training Appraoch and process. With the approach, assistance does not end in classroom training. Participants undergo coaching and mentoring in applying acquired knowledge, skills and orientation so they can deliver pre-identified outputs.

> *Training went beyond theory and concepts and gave the participants the chance to practice and apply the theories and principles in real life situation.*
>
> Nestor "Ting" Mijares
> *Deputy Director General, NEDA*

The In effect, workplace training is the bridge that ensures that enhanced competencies of individuals are used to improve processes within the organization, and eventually contribute to the achievement of its change agenda.

NEDA's Leny Quilates commented that the approach involves getting and using live data from the workplace so that participants can deliver the outputs that will promote the strengthening of the target capacity areas. DPWH's Director Favorito ventured that it is really in the workplace where the most significant amount of learning, i.e., 70%, happens. (Mention was made of many projects in the past which relied heavily on consultants in undertaking technical work. Because of this approach, there was no skills and technology transfer. After the consultants left, the staffs were not able to operationalize or utilize the systems developed by these consultants.)

6. Re-Entry Action Plan

Respondents cited the REAP as a defining feature and strength of the model. It is perceived as a vehicle for the immediate transfer of individual learnings to the workplace to support improvements in the targeted capacity areas. DepEd's ASec Mateo also sees the REAP as a tool for setting directions and guiding the implementation of planned changes. Thus, while there were concerns about accomplishing the REAPs because of organizational constraints and the resistance of some participants, the different agencies recognize the value of producing tangible training outputs that are directly aligned with the organizations' change agenda.

7. Monitoring and Evaluation (M and E)

The M and E component of the PAHRDF Capacity Development Model is considered as unique to the Facility. This is perceived as a support given to partner organizations to ensure that gains from the training interventions are actually translated into improvements in the workplace and that organizations work towards sustaining these. REAP implementation is closely monitored; PAHRDF and partners track status of the organization's planned capacity development in the form of periodic progress reports. Many respondents also recognize the value of the "sustainability" attributes that are embedded in the M and E framework. ASec Mateo highlighted the value of monitoring government programs so that organizations can self-correct, or if necessary be "penalized" for unwarranted deviations in policy and program implementation.

8. Contracting Training Service Providers (TSPs)

The DBM respondents consider contracting of training service delivery to providers as an effective approach. In general, they find the TSPs acceptable and able to provide satisfactory service. The PAHRDF model facilitates the creation of a pool of accredited TSPs that can help the large agencies in their capacity development efforts in the absence of a strong government capacity development sector. The model has a built-in mechanism to carefully screen and accredit TSPs and gauge their competence to deliver specific HR interventions. The Facility likewise provides regular and sincere feedback to TSPs regarding their performance, i.e. from bidding to implementation of training programs. As a result, the model helped to raise the standards by which capacity development programs are delivered in the large agencies.

1. Improved Competencies of Individual Job Performers

Major gains from the PAHRDF partnership include enhanced competencies of officers and staff on specific fields under the targeted capacity areas. This is very significant because admittedly, training and development activities in the four agencies have been affected by AO 103 (Austerity Measures). Before AO 103, DPWH used to have a 10 million peso budget for training but the government's austerity program has limited, if not sidelined staff development. Any effort of the agency to conduct training programs was carried out with minimal resources; participants even have to bring their own food. As a result of the PAHRDF partnership, hundreds of employees occupying positions that are critical in achieving the four agencies' development agenda have participated in training interventions that upgraded their competencies to perform their jobs.

The DBM respondents recognize that in the past, trainings conducted are not aligned with what the employees are supposed to do. With the PAHRDF engagement, HR personnel were able to do competency profiling, conduct training needs analysis and design training courses for the first time. Similarly, Ms. Quilates of NEDA mentioned that she learned more scientific approaches in preparing competency profiles and job specifications, as well as competency-based interviewing techniques.

2. Developed a Pool of Leaders

According to NEDA's Wilfredo de Perio, in the 33 years that he has been with NEDA, no leadership training has been conducted by the agency. With the PAHRDF training that he attended, he acquired leadership skills and learned management principles that he is now using in coaching, mentoring, and motivating his subordinates. DPWH's Rowena Pacubas asserted that aside from applying what she has learned, she has also been sharing her learnings to section chiefs and potential leaders and supervisors.

> *I understood the accountability of the boss in relation to the performance of my individual subordinates. I realized the importance of keeping cool even if my staff has committed errors in the work or has done inadequate work. When I was transferred to my current division, the records for 119 projects were not in order and there was no system. I wanted to have a system but did not know how to influence my staff. In the leadership training I learned how to influence and motivate people.*
>
> Wilfredo De Perio,
> *Chief, EDS*
> NEDA

DBM's Director Gloria Lauzon reported that the leadership training attended by officers heightened the participants' awareness of their roles, and helped align individual and organizational goals. She felt that the training will help these officers perform their roles as leaders and pillars of the agency, especially since the future of DBM rests on their shoulders.

3. Positioned the HR Function as an Important Cog in Pursuing the Agencies' Change Agenda

The HR function in the agencies has become more meaningful with the PAHRDF engagement. DBM now realizes the need to strengthen the HR unit so it can be the core group for in-house HR development, instead of just focusing on personnel services and administrative work. According to DDG Mijares, NEDA personnel have realized that the different units in the whole organization should be partners of HR. He said that there are now a number of people "speaking the same language", and who are more committed to strengthening the agency's HR function. DepEd's Ms. Nerissa Losaria (OIC-Chief, SDD-HRDS) observed that the PAHRDF engagement was successful in repositioning HR in the agency. HR has become more strategic, with more people acknowledging their role in the organization as "HR practitioners" and not only performers of technical functions in their respective units.

The different sections in DPWH's Personnel Division are now working together in many ways that have not been done before as the PAHRDF processes require them to coordinate with each other. This has allowed them to see the inter-relatedness of the various tasks and to better appreciate the different facets of the agency's HR function. Likewise, the agency has taken extra initiative to pursue other HR elements such as succession planning which was not part of the PAHRDF intervention.

4. Installed Important Systems that Were Neglected in the Past

Important HRMD tasks that were neglected or overlooked in the past have been attended to, and outputs (e.g., systems) that support the agencies' development agenda have been produced.

The DPWH's Personnel Information System (PIS) is now in full implementation.

> *With Ms. Campomanes' (LTT scholar) hard work, the PIS is in its full implementation in the department, with four modules currently working. A refresher course was conducted to help staff in the personnel unit appreciate the system for their eventual use.*
>
> Rowena R. Pacubas
> *OIC-Personnel Division*
> *DPWH*

The HRIS is a major tangible gain for DepEd. This has been rolled out in four pilot regions: III, IV A and B, and NCR. DepEd had done initial discussions with the Civil Service Commission, Commission on Audit, Department of Budget and Management and Government Service and Insurance System to link with their systems.

NEDA is in the process of finalizing a competency-based Integrated Performance Management System. The system has been rolled out to various offices to assess its effectiveness. A coaching and counselling guide has been developed to support the implementation of the system.

5. Improved Awareness of Agency Program

DepEd considers the increased consciousness and awareness of the Basic Education Sector Reform Agenda (BESRA) among employees as its most important gain from their partnership with PAHRDF. The participation of employees in the various training interventions exposed them to the BESRA. They talk about it and it is integrated in their REAPS. The participation of the President of the Employees Union in the Leadership Training Program was very critical because of his influence among internal stakeholders. After the training program, he became more interested and actively involved in the program.

> *An indicator of the acceptance of the program is when people talk about the Agenda (BESRA) . A good sign too is when they are involved in implementing the REAPs that support this, and 'embrace' what they are supposed to do.*
>
> Jose Lorenzo Ruiz Mateo
> *Assistant Secretary*
> *Department of Education*

6. Enhanced Confidence of Trained Employees

More than the knowledge and skills acquired, there is enhanced confidence among PAHRDF trained employees of the agencies because of their upgraded competencies. Several HR personnel reported that they have experienced performing HR tasks (e.g., competency profiling, course designing, etc.) that they have never done before. Others also reported enhanced confidence in their ability to better lead their subordinates.

D. Factors and Conditions that Supported and Facilitated the Application of the PAHRDF Model

1. Alignment of Interventions with Agency's Change Agenda

The model allowed partner organizations to identify priority areas and interventions that would advance their internal change agenda. As a result, the outputs that are produced by the training participants clearly contribute to the accomplishment of the agencies' goals. For instance, in DPWH, an LTT scholar's REAP was aligned with AO 255 (the Moral Recovery Program) which is a priority area of the organization. In DepEd, interventions are anchored on the BESRA. This helped increase support for the reform agenda which led to the writing of the policy relative to its implementation. The clear alignment of the work with the reform agenda made it easier to engage internal stakeholders to participate in the activity.

2. Participative Processes

According to Undersecretary Pascua of DBM, because of the involvement of DBM's senior officials in the initial discussions with PAHRDF in defining the objectives of the engagement,

management support has been consistent. This facilitated the active participation of the central and regional offices which include sending participants and provision of counterpart funding for travel expenses especially of regional participants. She added that the PAHRDF's participative processes ensure that she is also aware of the engagement's major milestones. In DPWH, the model allowed key stakeholders to participate in assessing the agency's capacity level and identifying appropriate STT and LTT programs, instead of just relying on the donor agency to do these for them. This approach sets the initial stage for generating project buy-in.

3. Executive Sponsorship

The presence of a champion from top management, especially a high-ranking official not only drew attention of internal stakeholders to the value of the interventions, but also facilitated approval of resources needed for their successful implementation. Some examples of support include issuance of office orders that document approval of attendance by selected participants to activities of PAHRDF interventions, provision of counterpart funding, and approval of REAPs for implementation.

In DPWH, having the HR point person (Dir. Favorito) sitting as member of the Management Committee helps generate buy-in and expedites quick response from management on concerns that can affect the PAHRDF partnership. DBM's USec Pascua has been steady in her support for the engagement. The agency's senior officials have likewise readily given the go signal for the implementation of the participants' REAPs. ASec Mateo noted that it is always helpful to have a high ranking champion that will drive change; someone who is aggressive in pushing reforms.

4. Monitoring and Feedback Mechanism

Monitoring done by both the Facility and the participants track the accomplishment of planned activities. PAHRDF, through its online monitoring is updated on the status of the REAPs. Through regular monitoring of activities and communication with the agencies, PAHRDF was also able to respond in a timely manner to concerns raised during conduct of training activities. In DPWH, feedback pertaining appropriateness of resource persons of the training on leadership was communicated to the Facility, and was immediately addressed resulting in improved conduct and management of the intervention.

5. Competent and Credible Training Service Providers

The presence of credible TSPs is seen as very critical in the operationalization of PAHRDF's Five-Step Quality Process as they are the ones that implement the HR interventions identified by the partner organizations. NEDA respondents said that contracted TSPs employ state-of-the-art learning techniques and have shown their adaptation of the latest technology to the agency. They have been able to guide participants in applying learnings in the workplace. Most resource persons and coaches have good grasp of the context and culture of the agencies and are able to establish credibility and build rapport with the participants. In DBM, a member of the training team even talked one-on-one with a nominated participant who was hesitant about attending the program. The DPWH respondents appreciated the adjustment that was made in the

composition of the TSP team to ensure that the key resource persons talk the language of the participants and are versed with the context of the organization. This greatly contributed to achieving the intervention's objectives.

6. Professional PAHRDF Team

USec Pascua cited the professionalism and technical competence of the PAHRDF staff whom she met with to discuss DBM's change agenda. The PAHRDF team's commitment to ensure quality of interventions was very apparent to the DPWH group when the former quickly took steps to address their concerns regarding the TSP.

E. Factors and Conditions that Hindered the Application of the PAHRDF Capacity Development Model

1. Competing priorities

- Time and other resources required by PAHRDF interventions compete with other priorities of partner organizations. It is a reality that these agencies have to attend to numerous daily distractions from all sectors (the Office of the President, other national government agencies, politicians, media, donors, local government units, etc.). It was therefore not easy for many participants to focus on training related tasks because of competing commitments.

- Although the schedule of interventions is a joint decision made by PAHRDF and the partner organizations, there have been instances when REAP implementation overlaps with a new intervention and other PAHRDF activities like meetings, symposia and preparation of M and E reports. Activities that focus on strengthening the HR function are more challenging for agencies as the same people attend the different programs because of the building blocks approach of the Facility.

- Since the work in DBM is very demand-driven, its personnel cannot just set aside work that needs to be regularly done so it can respond to the requirements of client agencies. Many PAHRDF training activities were implemented during budget preparation period and at a time when the organization was deep into assisting other agencies in the preparation of their Rationalization Plans. The work volume distracted the participants from the training, and dampened their interest in certain project/s. Others even used this as an excuse for not attending to the training requirements. This situation affected the timely submission of training outputs like TNA results, competency profiling, etc.

- DDG Mijares underscored that applying whatever has been gained in training to the workplace is part of the expectations from the interventions. However, in some instances, this could not be done owing to the workload of the staff. He said that come crunch time,

the staff just set aside PAHRDF requirements so they can focus on their regular work. Supervision and implementation of the REAPs, in the case of DepEd, has been affected because of so much workload in the office.

2. **Inadequate Multi-layered Sponsorship**

- While top management has shown support for the PAHRDF partnership, some difficulty was encountered in creating or sustaining buy-in among other members of the organization. In DBM for example, the HR team had to sell the project strongly to other stakeholders such as the directorate in order to get their support. Other times, expression of support from supervisors has not been translated to actual support in terms of giving time to employees to work on training requirements.

- DDG Mijares opined that the level of executive sponsorship required by the model can be difficult to attain, and is not easily nurtured in NEDA. He feels that at this point in the partnership, activities to create buy-in are not yet sufficient to generate full executive sponsorship, but only "executive tolerance". According to him, it does not help that once a training activity starts, it becomes more of a personal interaction between the trainees and the TSP, thus further detaching or leaving management behind on the status and progress of the activity.

  MMLDC and IMPACT recognized the concern on generating sponsorship from different quarters in NEDA especially since the lead sponsor is perceived as "difficult" by many in the organization. Ms. Daisy Marquez of IMPACT sensed that the executives have not really been fully supportive of the project, and it is only the HR unit that is driving it. She even feels that the TSP was in a way "competing" with the agency's own executives just so they could implement the project. She added that turfing among the agency's officials actually got in the way of effective project implementation.

- In DepEd, there was initially no top management anchor who would champion the PAHRDF initiatives and interventions. Those who were earlier involved in the planning and institutional profiling were no longer able to participate in the succeeding milestone activities. It also did not help that there is no singular unit in the agency that is in-charge of capacity development; this makes decision making and communication more complicated.

3. **Lack of Readiness for the Workplace Training Approach**

- The PAHRDF model espouses a "learning-by-doing" approach that is supported by coaching and mentoring to guide participants in the delivery of expected outputs as they acquire new competencies. This approach deviates from the

> *NEDA in general and the staff in particular have been used to having consultants working in technical assistance projects so the staff had difficulty during the workplace training.*
>
> Librado F. Quitoriano
> *Director*
> *NEDA*

usual consulting services that large agencies are used to receiving where consultants are accountable for delivering the outputs. Hence, some difficulty was encountered during coaching, and the preparation and implementation of the REAP. In DPWH, officers especially the more senior ones showed resistance to the REAP requirement. Director Favorito had the notion that the REAP seems to be more relevant for LTT programs than for STT activities as LTT programs have longer duration and consequently provide more time for REAP preparation.

Mr. De Perio of NEDA mentioned that managing the REAP process is a concern as this is something new to the staff; other training programs do not require these. Likewise, since NEDA employees are used to having technical consultants doing the work for them, they expect to be paid honorarium for their "hands on" involvement. The requirement of a REAP may have also scared off some employees from participating.

- Ms. Marquez of IMPACT commented that the coaching process which is embedded in the Workplace Training Appraoch is very much dependent on the willingness of participants to take on the challenge of being coached to produce the outputs. She observed that some NEDA participants did not attend coaching sessions because they did not appreciate the process. As a result, outputs were submitted on the last minute.

- According to Ms. Losaria (DepEd), the workplace training concept, specifically the face-to-face coaching and mentoring was not fully realized in their agency. Some adjustments were made, though, on the mentoring set up in order to meet the requirements of the engagement. In lieu of face-to-face interactions, mentors and participants communicated through cellphone or internet. Likewise, no one was overseeing the activity thus sub-groups were formed during mentoring to provide better focus for the mentors.

4. Anticipated agency-wide changes

NEDA experienced difficulty in selecting trainees as management wanted to make sure the people they send to training are those that will not be assigned to other positions as a result of the anticipated rationalization. Also part of the "tension" in participant selection is the REAP because it prescribes activities in the original unit where the scholar is assigned, but there is fear of being re-assigned to other units later on. Similarly, DBM experienced difficulty in participant selection because of changes in the assignment of people. As a result, the agency had to give up two training opportunities.

1. Reliance on TSPs' capability to deliver

Since PAHRDF relies largely on TSPs to implement the interventions, the role of the TSPs as well as their stringent screening and selection is very important. In the Recruitment, Selection, Placement and Induction project of DBM, one of the coaches assigned was not sensitive to the environment and the needs of the trainees. Classroom approach was used, which proved to be ineffective. In DPWH, a resource person who was fielded by the TSP was not able to connect to the participants as he did not understand the context and culture of the organization, making the training conduct a "disaster," according to the resposndents.

G. Insights and Learnings from the Application of the PAHRDF Capacity Development Framework

1. Need to Strengthen the HR function

Agencies have to veer from viewing and treating the HR function as limited to personnel administrative services to according it a more strategic role in achieving the organization's mandate and vision. Employees' needs will also have to be looked at beyond monetary compensation. This paradigm shift

> *Going strategic means there is a need to go beyond transactional operations. This means influencing the incorporation of a strong HRD function in the agency. This also includes identifying and attending to the other needs of government employees, aside from just compensation.*
>
> DBM respondents

necessitates the strengthening of existing personnel units so that they can effectively mind the organizations' capacity development needs in support of their development agenda.

As a result of the PAHRDF engagement, Dir. Favorito for example, recognizes that DPWH needs to develop a more comprehensive HRMD package for the organization and its employees.

2. Sustained Buy-in and Executive Sponsorship are Critical

Without top management support, nothing significant can be achieved as decisions regarding strategic directions, and deployment of employees and resources are made at the top level. There has to be appreciation and support from the top to push and sustain the changes brought about by the HR interventions. Executive buy-in may have already been assumed at the start of the engagement with PAHRDF and the conceptualization stage, but long-term executive sponsorship will take a longer time to generate. Likewise, while there may be individuals

supporting the change initiatives at the start, the sponsorship of organizational champions at different levels will have to be built and sustained over time. It can be very helpful if the organization's structure includes a high ranking champion for HR management and development.

3. Workplace Training is an Effective and Relevant Capacity Development Approach

In DPWH history, things "die" or are neglected once the consultant leaves and employees are left to implement or continue what has been done by the consultant. Thus, DPWH's ASec Asis sees coaching/mentoring as a very good approach to capacity development as internal capacities to do the job are built. Ms. Atenta of NEDA realized that the model is very much applicable and relevant to their agency despite the initial apprehensions especially about the REAP and the challenges in producing the outputs. The group recognized that with the approach, their reliance on consultants to undertake the technical work gave way to the staff learning by doing the needed work to deliver the outputs.

4. Capacity Development Needs to be Anchored on the Organization's Development Agenda

It is important that capacity development is anchored on the organization's development agenda (including its vision, mission, and goals). The identification and planning of HR interventions become more meaningful and relevant if this is based on an objective assessment of the organization's capacity to pursue its agenda.

DepEd appreciates the fact that PAHRDF interventions have been designed to support the agency's Basic Education Sector Reform Agenda. In DBM, the partnership came at a time when the agency was evolving its Rationalization Plan and confronting concerns regarding its recruitment and selection processes in preparation for the implementation of the plan. This is one of the reasons why USec Pascua has been unequivocal in saying that the engagement has been very relevant and useful to the agency's achievement of its objectives.

5. Targeting the Right People is a Requisite in the Workplace Training Approach

Participant selection is very critical in making the Workplace Training Appraoch work since the training interventions are geared towards producing outputs that will contribute to achieving the organization's development agenda. Thus, training participants should be in a position that is accountable for preparing and/or utilizing the planned outputs. They should also have some amount of readiness to embrace new learning approaches, and commitment to follow through after the classroom sessions and deliver the outputs while they are performing their regular jobs. Based on the experiences of the four agencies, it could be very easy for participants to lose interest and use job demands as an excuse for not putting in the expected time and effort during the coaching and mentoring phase.

6. Monitoring and Evaluating Training Interventions is Important

The monitoring and evaluation system that is embedded in the PAHRDF Capacity Development Model is important, especially since this is one of the most neglected elements of HR interventions. Monitoring of outputs and evaluating the acquisition of knowledge and skills are the more simple part of the process, but the impact of the interventions is not easily seen unless a purposive impact evaluation is done. Although long-term outcomes can only be seen over time, it would be good to assess how the interventions could really contribute to improving the performance of the agencies.

H. Suggested Enhancements in the PAHRDF Capacity Development Model

The four agencies agree that the model is relevant and innovative. Given the hindering factors that have been recognized above, the following enhancements are suggested. It can be noted that these suggestions are focused more on the execution rather than the elements of the PAHRDF Capacity Development Model.

1. Executive Sponsorship

- Strengthen the component on creating executive sponsorship and buy-in that is conducted at the onset of the training.

- TSPs should install mechanisms to regularly update the superiors of participants on the status of the HR intervention. This can contribute towards reinforcing sponsorship as the managers become more aware of the progress of the expected outputs and what their staff are pre-occupied with.

2. LTT Program

- It is suggested that the intake of scholars for long-term training be increased. It would be good to have a "group LTT" according to DepEd, where a group of trainees from the agency will be sent to the same field of study.

- In DPWH, there is a strong suggestion by ASec Asis to consider sending trainees to local universities instead of abroad as the education system in Australia is different. Applicability to local conditions is most important ,and culture plays a big role in the study. A variation to the current mode would be to conduct the studies locally and benchmark abroad, e.g. have two trimesters locally and conduct the third trimester abroad..

- Since it is important for LTT trainees and their mentors to have a trusting relationship, mentors should be competent and credible. Aside from ensuring careful selection of mentors, training and orientation of mentors on the mentoring process and relationship needs to be strengthened.

3. Training Delivery Strategies

- Use the mode of secondment as a training strategy. Consider seconding participants outside of the country for professional enrichment. Critical to this would be the selection of the seconding organization to ensure that learnings that will be acquired are relevant and applicable to back home situations.

- As suggested by DepEd, variations to coaching and mentoring should be incorporated in the training design and delivery (e.g., online mode and group mentoring), to address the time constraint and nuances of the partner organization's culture.

4. Linkages for Sustainability

- Across the agencies, there are many opportunities for building support and nurturing the learnings even after the training. DDG Mijares recommends enhancing linkages of partner agencies in order to sustain the gains of the interventions. As examples, he suggested having an official function where the bosses of the different partner organizations are brought together for updating and sharing of lessons learned from the interventions, cross visits during training, and observation tours to let agencies understand the nuances happening in other organizations.

IV. Conclusions

A. Does the Model Work?

Feedback from the four large agencies indicates that the PAHRDF Capacity Development Model works. Specifically, the Facility with the use of the model has been able to fill the gap in leadership development and HR management and development in these organizations.

1. Admittedly, the four large agencies have been used to technical assistance projects that provide for consultants who do the work for them. While the novelty of the processes embedded in the model triggered some discomfort and even resistance among some stakeholders, the agencies find the model as relevant, appropriate and applicable.

   The model has in a way addressed two common pitfalls in getting consultants to do the job for the organization: 1) technology is not transferred (or only to a limited extent, if at all) to the job performers; and 2) uncertainty as to whether systems that are developed by the consultants will be implemented or institutionalized. As a DPWH respondent put it, things "die" once the consultants leave.

   Using the model, the targeted HR units were capacitated in ways that were not attempted before. As the respondents admitted, they have carried out critical HR processes (e.g.,

competency profiling, training needs assessment, competency-based interviewing, etc.) for the first time, with guidance of competent coaches. They have prepared important outputs (e.g., Integrated Performance Management System, HR Information System, etc.) and rolled these out to various units of their organizations.

The provision of leadership training for the agencies' management team is a welcome intervention not only because this could build a cadre of change sponsors; but also because this is another area that has been neglected. Dir. Favorito of DPWH emphasized that leadership training is a weakness of the government sector. He pointed out that even the Career Executive Service Board does not provide leadership training for division chiefs when in fact they perform very important leadership roles. As a NEDA respondent shared, the agency has not embarked on leadership development in the more than three decades that he has been in the agency. The model pushes the classroom-based leadership training further by requiring participants to develop and implement Re-entry Action Plans that will guide the immediate and planned application of learnings.

2. The PAHRDF model provided the agencies a common framework on capacity building that revealed many benefits. Within NEDA and DPWH for example, the officials and employees had a ready model for reference as they discuss HR issues and concerns. Decisions were also easier to make within the context of a common framework.

3. The Facility's slant on HRMD has been very beneficial to the agencies, especially since it is apparent that there has been no purposive effort to advance HRD as an important element of organizational capacity development. While all have personnel services or HR units, the focus have been on performing transactional HR tasks like processing leaves, benefits, and compensation. Though the agencies may actually regard human resource development as important, it can be surmised that its supposed non-urgent nature makes HR easier to "de-prioritize."

The 2004 implementation of the bureaucracy-wide Austerity Program embodied under Administrative Order No. 103 which prohibits the national government, its agencies and instrumentalities from the "conduct of training, seminars, and workshops, except if funded by grants, or if the cost may be recovered though exaction of fees"[3], further aggravates the situation. This means suspending the already limited budget that has been allocated to training and development so that scarce resources can be channelled towards the implementation of the 10-Point Legacy Agenda of the GMA Administration.

Whatever training programs the agencies have managed to implement despite AO 103 have been carried out on a piece-meal basis and limited scale. These were also not based on an objective assessment of individual or organizational capacity development needs, nor anchored on the agencies' development agenda. The PAHRDF Capacity Development Model has provided the structure for the large agencies to re-visit their development agenda and identify capacity development priorities that have to be addressed to achieve these. The

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[3] http://www.ops.gov.ph/records/ao_no103.htm

resulting organizational and HR analysis then became the basis for planning HR interventions. Thus, the model in effect has helped the agencies determine the focus of their investments in HR development, i.e., those which can give the greatest returns in terms of supporting their development agenda.

At this point, it can be noted that gains of the four large agencies from the application of the model are still limited to acquisition of learnings by the training cohort and the preparation of outputs that intend to improve organizational performance in the targeted capacity area once implemented. There have also been initial activities to roll out and institutionalize these outputs, but results are yet to be seen. These may be compared to the gains of partner local government units (LGUs) which already indicate positive impact on organizational performance and even on client service. This disparity may be attributed to the following:

1. The LGUs have been engaged by PAHRDF right at the start of the Facility. They have had the chance and time to install systems that they have developed and to utilize these in providing services to both internal and external clients. In comparison, the four large agencies came in much later (i.e., starting 2007) and are still starting to use the outputs that were produced by the training cohort.

2. The scope of PAHRDF partnership with the LGUs has been much wider in terms of capacity areas that have been targeted. So far, the focus of partnership with the four large agencies has mainly been in the capacity area of "People and Organization Development", particularly in HRMD and leadership development.

3. Because of the length of and scope of engagement of the LGUs with PAHRDF, they have had the opportunity to create a critical mass that understand the need for change, and have actually been involved in the various change initiatives. This has facilitated the implementation of new systems and processes across the organization. This has not yet been the case in the large agencies. Achieving a critical mass will require more time and resources because of the size and context of the NGAs.

4. The differences in decision-making and management processes may also be a factor. In LGUs, decision-making is less contentious as a special order from the local chief executive can quickly put things into motion. On the other hand, it is recognized that large agencies are more prone to turfing issues, which can sometimes get in the way when it comes to deciding on deployment of personnel and resources, or supporting initiatives championed by another unit or officer, for example. A bigger number of stakeholders which can be spread out geographically also have to be consulted. These factors can affect the pacing of interventions.

   Additionally, the demands on large agencies are greater and more unpredictable. They have to deal with emerging concerns and needs of the Office of the President, other national government agencies, LGUs and other publics. Operations in the LGUs are largely dictated by the thrust and programs of the incumbent LCE. For example, the Provincial Government of Northern Samar has its *FLESHER* (Food-Livelihood-Education-Shelter-Environment-

Revenue Generation); Bohol has its Ten-point Agenda for 2010. Thus, any program or project that will promote the LCE's agenda is likely to be prioritized and attended to by internal stakeholders.

B. What elements of the model work?

1. The ***Workplace Training Approach*** and the embedded ***Five-Step Step Quality Process*** propelled the four agencies to achieve their immediate gains from the partnership. As a result of the organizational and HR analysis, the agencies recognized how HR interventions can be made strategic.

   The approach facilitated the acquisition and immediate application of learnings to produce outputs that are intended to improve organizational functioning. The participants clearly benefited from the learning technologies and the coaching/mentoring processes that were utilized by the TSPs. There is discernible pride among the agencies and participants in having produced critical outputs that used to be the domain of technical consultants.

   Admittedly, using the Workplace Training Approach was not easy for the agencies and the participants. Participant selection was a struggle for some. Tasking the participants to prepare the outputs was a major paradigm shift for them as they have been accustomed to relying on consultant experts to do the job. The concept of the REAP as a mechanism for institutionalizing change is well-appreciated by everybody. However, it has become a tenuous issue in certain instances because of the anticipated changes in the organization as a result of the government's rationalization program. Organizational and client demands that have to be met while producing the outputs and implementing the REAPs make the application of the Workplace Training Approach even more challenging. Thus, the resistance and adjustments that the participants and their superiors have to make are not entirely unexpected.

   While LGUs experience the same challenges when they were starting to embrace the Workplace Training Approach, it would appear that the organizational environment in LGUs has been relatively more flexible and supportive of the approach. For one, the training cohorts in the LGUs (who can be considered as less "training-savvy") have been relatively more eager to participate in the training interventions and undergo coaching and mentoring. In general, the LGUs have also been more appreciative of the PAHRDF engagement and approach as compared to the large agencies, owing perhaps to the limited attention that they have been getting from donor agencies, as compared to the large agencies.

2. The ***highly participative processes*** in which the PAHRDF Capacity Development Model is executed works well for the four large agencies. The early involvement of key stakeholders in the engagement process props up the stage for creating buy-in and sponsorship. Top executives and managers participated in re-visiting the agencies' development agenda,

clarifying their strategic directions, and identifying capacity gaps. Representatives of partner organizations were also involved in determining and planning HR interventions as opposed to the consultant-driven mode of prescribing solutions to close the gaps. These promoted a sense of ownership among the agencies and contributed to greater acceptance of the HR interventions. Learning sessions both during the residential and coaching phases were likewise highly participative. An added positive consequence of these highly participative processes is the development of confidence of the agencies and individual participants to perform functions in a manner that they have never attempted to do in the past.

3. The *flexibility of the execution of the model* in terms of entry points for capacity development has helped create buy-in among the partners. Although HRMD strengthening is a priority entry point for PAHRDF interventions, the shift to leadership development in DPWH and DepEd underscored the model's adaptability and responsiveness to what is immediately needed by the organization to pursue its development agenda.

4. The *effective and efficient Facility management* of the engagement with the four agencies, through its competent HR Advisers, made the model work. The installed feedback mechanisms likewise provided opportunities for immediate action to be taken in response to concerns raised by the agencies, especially during implementation. Managing partnerships with large agencies is more challenging because of the size of the organizations, and the context in which they operate. Coordination and communication work is not as clear-cut as what is required when dealing with LGUs which have less organizational layers. Large agencies can also be more sensitive when it comes to protocols. Thus, Facility management as an enabling mechanism has been crucial in achieving the partnerships' objectives with the four large agencies.

C. *Under what particular circumstances does the model work?*

While the large agencies agree that the PAHRDF Capacity Development Model works for them, they also recognize that conditions and circumstances that can promote the effective application of the model were not readily or consistently present. The organizations in general and the change champions in particular have to exert more effort and at times "struggle" to pursue the partnership. Based on the experiences of the four agencies, the model works best under the following circumstances:

1. Strong Multi-layered Sponsorship

- The support and sponsorship of a senior official who will champion capacity development as an organizational imperative, rather than a series of isolated training events is critical in making the PAHRDF model work. But more than just top executive sponsorship, the Workplace Training Approach also requires multi-layered commitment and support from the agencies' management team. This will ensure that the time and effort that needs to be invested into producing the outputs will be considered part of "regular" work (especially

since the outputs are intended to directly support the agencies' change agenda anyway), rather than an add-on that can be easily sidelined.

- For large agencies, it is doubly important that the change champion is acceptable and credible to different stakeholders because of the sheer size of their structure and the political nuances that go with it. For example, the NEDA respondents recognized that the progress of PAHRDF interventions in their agency has been affected by turfing among officers and units, especially since the HR contact person is not that acceptable to others. Additionally a change champion who has access to top decision makers is a key facilitating factor. In the case of DPWH, the HR contact person, aside from being acceptable to different quarters, also sits in the management committee.

2. Readiness of the Organization and the Participants to Embrace Change

- The Workplace Training Approach which is the heart of the PAHRDF Capacity Development Model departs from the usual training delivery mode that most are accustomed to. The approach demands more than the mandatory expression of support, and the financial counterpart and person-hours that the organization can commit to the partnership. It requires mental re-framing at the organization and individual levels, as both have to be very active participants and doers when planning and implementing learning interventions, instead of just being passive recipients of inputs from resource persons and consultants.

- In the experience of the large agencies, there had been resistance to the re-entry action planning requirement basically because people were not ready for this. Aside from having been used to consultants doing the work for them, some did not anticipate the amount of work that they have to do after the classroom training. The more senior participants of DPWH do not see the value of the REAP; it was even suggested that the REAP is applicable only for long-term training but not for short-term training programs. Even rolling out newly developed systems can be more arduous. A case in point: Although NEDA's regional offices welcomed the new Integrated Performance Management System, people in the central office are not yet keen on embracing it and are not yet willing to invest in the project since they think that PMS is not their core function.

3. Selection of "best-fit" training cohort and "best-fit" TSP

- The Workplace Training Approach works best when the training cohort is composed of individuals who own the responsibility and accountability for producing and utilizing the training outputs, and who possess the ability to learn or broaden their knowledge (i.e., the "will do" and "can do" dimensions). Thus, the selection of the most appropriate cohort is a vital task. Admittedly, there were still some difficulties in selecting the right people for training although there is a selection process. NEDA for example recognizes that there were still trainees who were not supposed to be nominated.

- The TSPs are the main conduit for the execution of the model's Workplace Training Approach. TSPs that have a good understanding of the context and needs of the agency, and are able to match the learning requirements and styles of the training cohorts are a necessary condition in making the model work. Just as the approach requires mental re-framing on the part of the partner agencies, the same is required of TSPs. They need to be more facilitators of learning rather than the proverbial "fountain of knowledge" to ensure that that technologies are transferred and competencies of training cohort developed once they leave the clients.

V. Recommendations

The PAHRDF Capacity Development Model has yielded significant gains when applied to LGUs and bureaus. The Facility's experience in applying the model to four large national government agencies indicates that it is as relevant and useful to large organizations. The following recommendations are forwarded to further strengthen the model's value when "up-scaled" to NGAs:

1. There is a strong need to influence a paradigm shift in the way the large agencies regard capacity development. It is unfortunate that the low priority given to HR and OD is reinforced by the national government whenever it issues orders to "de-prioritize" training and development when government spending needs to be curbed. The roles of the CSC as and DBM central agencies in improving management effectiveness and productivity should be leveraged by the Facility. Having seen the value of having a capacity development model that will guide investments in this area, both agencies can work together in advocating the adoption of the PAHRDF Capacity Development Model or its modified versions across the bureaucracy.

   While CSC has been upgrading the competencies of individual HRMOs, the Commission can work with PAHRDF in capacitating agencies to develop their own capacity development model so that HRMOs can contribute even more meaningfully in advancing their organization's change agenda. CSC can also play a more influential and strategic role in the government's capacity development efforts by being represented in the Facility's Board.

   PAHRDF can also find ways to support the Organizational Performance Indicator Framework (OPIF) that is being carried out by DBM so that agencies can derive optimum benefit from the interventions. One way of doing this is aligning the REAPs of training participants with the OPIF log frame of the agencies.

2. The NEDA which has an oversight role over all foreign assisted programs can consider integrating a capacity development model in foreign assisted programs. As revealed in the

study, the DPWH has been a recipient of a foreign grant for nine years and such program did not have provisions for capacity building interventions.

3. For DBM and NEDA, the HR/Personnel offices are the major targets and focus for the partnership; and rightly so. The agencies will have to pursue the initial gains from the partnership and continue to capacitate and empower their HR offices to play a strategic role in the organization. Again, the DBM and CSC can play an important role in seeing to it that a fully functional HRMD office is in place in all large agencies.

   Nonetheless, consideration should also be made in realigning the major target for the partnership to ensure more successful capability building for large agencies. Other entry points that will provide opportunities for higher and broader engagement should be explored as necessary. An example would be the implementation of leadership programs at the DPWH and DepEd as entry points for the partnership.

   For the time being that HR offices may not have the clout and influence to effectively manage organizational reforms, it may also be worthwhile to provide parallel focus on organizational units which are directly involved in the reform programs of the agency. For example, in the case of the DPWH which needs to overhaul and modernize its perspectives and practices for undertaking public works, the entry point for intervention can be with the units that are and should be in the forefront of the reforms. However, in the long run, there should be an HR structure with competent warm bodies that will anticipate, plan, develop, manage and evaluate the agencies' capacity development program.

4. The realities, nuances and uniqueness of culture in each of the large agencies would have to be carefully factored in during the preparation stage of engagement with PAHRDF. This may mean conducting a more in-depth analysis that can include "diagnosing" organizational dynamics, leadership styles, power bases, and other factors that can derail or promote the partnership. Having an organizational audit before work commence will significantly influence the design and execution of PAHRDF interventions. Moreover, this will allow TSPs to be more proactive in managing potential constraints instead of "competing" with organizational realities.

   In relation to this, PAHRDF may have to include a Risk Management Plan that is prepared with partner organizations as part of its groundwork when engaging large agencies to anticipate and prepare for emerging conditions that can derail the engagement.

5. Large agencies require longer preparation time in terms of achieving readiness for the PAHRDF capacity development approach. Top management nod may be the easiest to get, but getting multi-layered support will require more time and intervention. Involving as many stakeholders during the organizational profiling stage is helpful. Identifying a PAHRDF contact person that is acceptable and credible to different stakeholders and have access to top decision makers is also critical.

Changing the nomenclature of the activity components may also be helpful. Instead of calling the orientation and preparation component as "Component 0", it may be worthwhile to call it "Component 1" to signal the start of the activity. There may also be a need to engage in activities that will facilitate shifts in paradigm regarding training and development, in general, and workplace training, in particular.

During actual implementation, setting up a mechanism for regular feedback discussions between the TSP and the key stakeholders of a particular HR activity (including the superiors of the training cohort) can further help more people "hook" into the activity.

6. PAHRDF may need to revisit its criteria and process for TSP selection, particularly in terms of accepting nominated resource persons or facilitators for major and very critical learning areas. If necessary, this may involve targeted interviewing and thorough reference checking just to ensure that the nominated person can deliver what is captured in the submitted curriculum vitae.

7. It may be good to look at alternative modes of training delivery. Considering other options may help to address the organizations' concern over availability of participants to attend training (that includes coaching and mentoring) for long periods of time. Some suggestions made include on-line courses and attendance to local universities.

Organizational Profiles

1. ***Department of Budget and Management (DBM)*** [1]

Mandate:

Pursuant to Executive Order No. 292, the Department of Budget and Management (DBM) shall be responsible for the (1) formulation and implementation of the National Budget with the goal of attaining national socioeconomic plans and objectives and (2) efficient and sound utilization of government funds and revenues to effectively achieve the country's development objectives.

Vision and Mission:

The DBM aspires to be the premier economic and financial manager of government expenditures that is responsive to national development needs. As such it will lead effective public expenditure management which shall be manifested in:

- Effective translation of the country's development priorities into sectoral and functional budgetary allocations;
- Efficient, effective and responsive government agencies putting public resources to their most productive and beneficial uses and for the common good; and
- Transparency and accountability in public spending

Strategic Objectives:

- Ensure fiscal discipline by providing Government realistic and strategic information on the levels, allocations and composition of the budget at the agency and for the Government as a whole.
- Ensure effective resource allocation to allow equitable allocation of Government expenditures in creating a robust, well-oiled economy and in meeting basic social services, strategic infrastructure and other development projects as well.
- Ensure efficient government operations by embedding the necessary organizational and systems reforms such as results-based budgeting; user-friendly budget and expenditure reports; other operational, performance monitoring and evaluation systems; and the completion of the Rationalization Program.

Business Profile:

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[1] Source: DBM Institution Profile (Program Year 2009-2010)

The overall management and administration of the Department is vested in the Office of the Secretary, assisted by three (3) Undersecretaries and four (4) Assistant Secretaries in the formulation and implementation of policies, plans and programs for implementation of the functional groups of the Department. Twenty nine (29) Directors IV comprises middle management; they run the day-to-day operations of the Department. Frontline supervision is provided by ninety five (95) division chiefs.

Baseline Capacity Assessment:

Prior to firming up the partnership with DBM, PAHRDF facilitated a baseline analysis of the agency's internal processes and staff competencies to determine its capacity to pursue its strategic directions and planned change agenda. The output of the analysis was envisioned to guide the Facility in determining the possible PAHRDF HR solutions for DBM.

The analysis focused on the three Capacity Areas, namely: 1) Administrative Governance; 2) People and Organization Development; and 3) Service Delivery, and the five Sustainability Attributes; i.e., Competencies; Accountability and Ownership; Consistency of Practice; Assessment and Continuous Improvement; and Executive Sponsorship.

In Administrative Governance, specific capacity areas of Planning and Policy, Project Development, Administrative Procedures and Systems, and Information and Communications Technology Management were assessed to be either minimally or partially present. Planning and Policy seems to be most neglected, as all Sustainability Attributes were observed to be minimally present. It was noted that no organic office performs this function; and while the directorate has been conducting planning activities as initiated by the secretary, efforts are not sustained. There is no systematic process nor are there planning guidelines that could support regularity and consistency of practice. Responsibilities have not been identified to ensure that plans are pursued. It was nonetheless reported that competencies in this area are being developed through the assistance of the Philippines-Australia Partnership for Economic Governance Reforms (PEGR).

Similarly, specific capacity areas in People and Organization Development were minimally or partially present. There had been no purposive and agency-wide initiatives related to succession planning, and leadership and team development. Effective HR processes and services were focused on personnel records management, compensation and benefits, and policy formulation and implementation. There was a felt need to strengthen other HR processes like grievance machinery and performance monitoring, and develop competencies in HR planning/forecasting, and training management. No dedicated unit has been assessing the training and development needs of people, and designing and implementing appropriate interventions to address these.

Under Service Delivery, Sustainability Attributes related to Partnership Building were seen as partially to largely present. There are partnership arrangements with other oversight

agencies. There are regular meetings, workshops and seminars with client agencies when mainstreaming budget reforms. Management is supportive of participative relationships with stakeholders. DBM's shift in role toward being a "development partner and adviser to line departments and agencies" has been articulated in the corporate plan. There is still a need to strengthen this though, including building the competency of staff, especially at the rank and file level, to perform this role. The contribution of DBM staff in influencing the policy direction of agencies and GOCCs needs strengthening (i.e., through more policy-oriented interactions with agencies, donors and other stakeholders). Also noted was the need to build and strengthen partnerships with Congress, Career Executive Officers (CEOs) and the public

Assessed more favourably is the specific capacity area of Service Delivery Procedures and Systems. The five Sustainability Attributes were seen to be largely present. There are competent people performing basic budget services; foreign and local scholarships are being provided to technical staff. The Senior Officials Council, the Central Office Directorate and the Regional Directors meet regularly to discuss policy and process changes. Management has been driving reforms in the services through approval of changes in budget policies and guidelines. There was an acknowledged need to improve though on several areas; e.g., Budget and Management Policy Services; Agency Budget and Management Services; Performance Monitoring and Evaluation Services; and ICT support for budget processes. It was also considered important to institutionalize an internal audit system.

2. *Department of Education*[2]

The Department of Education (DepEd) draws its mandate from the constitutional provision that enshrines the paramount goal of the State to provide education as a basic right of every individual. Over the years, the mandate of the DepED evolved from being the principal government institution charged with matters pertaining to Philippine education and overall manpower of development, including culture, arts and sports into what it now currently concentrates on, which is basic education. In the Philippines, basic education includes: early childhood education; elementary and secondary schooling; and non-formal and informal learning systems.

Vision:

We are people organization committed to a culture of excellence in public service. Believing that the most important resource of our country is its people, we make the task of educating the Filipino child our singular mission.

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[2] Sources: DepEd Institution Profile (Program Year 2009-2010) and http://www.deped.gov.ph/about_deped/vision_mission.asp

We assist the Filipino child to discover his/her full potential in a child-centred and value-driven teaching-learning environment and thereby, enable him/her to create his/her own destiny in global community. We prepare him/her to become a responsible citizen and an enlightened leader who loves his/her country and is proud to be a Filipino.

We provide a school system…

Where teachers and principals achieve the desired learning outcome not only because they are empowered, competent and accountable, but because they care;

Where administrator exercise visionary leadership responsive to emerging learning needs of the nation; ensure adequate resources; promote appropriate technology; create and sustain a conducive climate to enhance learning; and

Where the family, the community and other institutions actively support our efforts.

We affirm the right of every Filipino child especially the less advantaged to benefit from such a system.

This is our vision. With God's help, we dedicate all our talents and energies to its realization.

Mission:

To provide quality basic education that is equitably accessible to all to lay the foundation for lifelong learning and service for the common good.

Management Structure:

To carry out its mandate and objectives, the Department is organized into two major structural components. The Central Office maintains the overall administration of basic education at the national level. The Field Offices are responsible for the regional and local coordination and administration of the Department's mandate.

At present, the Department operates with four Undersecretaries in the areas of: Programs and Projects; Regional Operations; Finance and Administration; and Legal Affairs; and four Assistant Secretaries in the areas of: Programs and Projects; Planning and Development; Budget and Financial Affairs; and Legal Affairs.

Backstopping the Office of the Secretary at the Central Office are the different services, bureaus and centres. The five services are the Administrative Service, Financial and Management Service, Human Resource Development Service, Planning Service, and Technical Service. Three staff bureaus provide assistance in formulating policies, standards, and programs related to curriculum and staff development. These are the Bureau of Elementary Education, Bureau of Secondary Education, and the Bureau of Non-formal Education.

Six centres or units attached to the Department provide technical and administrative support towards the realization of the Department's vision. These are the National Education Testing and Research Center, Health and Nutrition Center, National Educators Academy of the Philippines, Educational Development Projects Implementing Task Force, National Science Teaching Instrumentation Center, and Instructional Materials Council Secretariat. Additionally, there are four special offices under OSEC: the Adopt-a-School Program Secretariat, Center for Students and Co-curricular Affairs, Educational Technology Unit, and the Task Force Engineering Assessment and Monitoring.

Specific Development Concerns

The DepED provides the core service of equipping every Filipino with basic education competencies regardless of socio-economic status, creed, cultural and political affiliations useful for life-long learning. As it lays the foundation for future learning and mastery for every Filipino, the Department confronts great challenge in:

1. Ensuring universal participation of children in preschool and elementary levels and increasing access to secondary education;
2. Sustaining school attendance for those already in school and avoiding drop outs due to various reasons; and
3. Increasing learning proficiency across all subject areas, particularly on English proficiency.

To address the above, the Department is pursuing the Basic Education Sector Reform Agenda (BESRA) for the period 2006-2010. BESRA aims to:

1. Get all schools to continuously improve via intensified implementation of school improvement planning as a component of school-based management**;**
2. Enable teachers to further enhance their contribution to learning outcomes through the implementation of the National Competency-Based Teacher Standards;
3. Increase social support to the attainment of desired learning outcomes through the development of quality assurance and accountability framework for each learning area;
4. Improve the impact on outcomes from complementary Early Childhood Education, Alternative Learning Systems, and private sector participation through strengthened public-private partnership**;** and
5. Change the institutional culture of the DepED to better support items 1-4 (above) through performance-based governance, tighter monitoring and reporting of results, and a more transparent manner of operating.

Five (5) Technical Working Groups have been mobilized since FY 2006 to review existing policies, standards and procedures that will accelerate the attainment of BESRA goals and objectives.

3. *Department of Public Works and Highways[3]*

Mandate

The DPWH is mandated to implement the policy of the state to continuously develop technology for ensuring the safety of all infrastructure facilities and securing for all public works and highways the highest efficiency and the most appropriate quality of construction. As the primary engineering and construction arm of the government, the DPWH is responsible for the planning, design, construction, and maintenance of national highways, major flood control systems, and other public works.

Vision

DPWH is a model agency in government, improving the life of every Filipino through quality infrastructure.

Mission

To provide and manage quality infrastructure facilities and services responsive to the needs of the Filipino People in the pursuit of national development objectives.

Goals

The DPWH paramount goal is to develop a highway system that at the lowest user costs in a time-bound framework transport people and goods between major market and production centers. Its objectives reflect this goal in terms of providing high quality paved roads, with safe and environmental-friendly features.

Business Profile

The DPWH consists of the Department proper which is composed of the Office of the Secretary, Offices of the Undersecretaries and Assistant Secretaries, and six (6) Services namely: Administrative and Manpower Management Service, Comptrollership and Financial Management Service, Internal Audit Service, Legal Service, Monitoring and Information Service, and Planning Service. These Services are headed by Service Directors (Director III).

The DPWH has five (5) Staff Bureaus which are headed by Bureau Directors (Director IV); to wit: Bureau of Design, Bureau of Construction, Bureau of Maintenance, Bureau of Equipment, and Bureau of Research and Standards.

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[3] Source: DPWH Institution Profile (Program Year 2009-2010)

Project implementation is decentralized and discharged by the 16 Regional Offices headed by Regional Directors. Under them are 16 Regional Equipment Services and 174 District and Sub-District Engineering Offices. There are also 24 Project Management Offices, supervised by a pool of Project Managers, implementing both local and foreign assisted projects.

The DPWH also exercises administrative supervision over 4 agencies namely: Metropolitan Water Sewerage System, Local Water Utilities Administration, Road Board, and Philippine Reclamation Authority.

The DPWH focuses the implementation of its concerned programs and projects in support of the ten-point agenda of the government, among which are the following:

1. Transportation and digital infrastructure (Road component of the Nautical Highway System)
2. Decongesting Metro Manila (Expressways and other major road projects)
3. Electricity and water for all (President's priority program on Water)
4. Creation of jobs (Opportunities to create 6 to 10 million jobs through public construction and maintenance)
5. Terminating Hostilities (Mindanao Road National Initiative)

HRD Issues:

The Department recognizes that there are certain HRD issues that need to be addressed to support the achievement of its objectives. These include:

1. Enhancing and upgrading the capacity of employees who perform HRD functions (particularly in determining training needs of employees, preparation of training plan, aligning it with the strategic goals of the agency, and monitoring and evaluation).
2. Strengthening the pool of in-house trainers and resource persons who implement technical and non-technical training.
3. Enhancing the Department's performance appraisal system, and educating the employees on its mechanics and processes.
4. Improving the motivation of personnel and creating greater accountability for work.
5. Strengthening the implementation of the Department's Integrity Development Program.
6. Developing project management capability in the regions, coaching and mentoring skills of managers and supervisors, written communication skills of some technical personnel, and IT capability of employees.
7. Enhancing the capacity in monitoring the strategic and operations plans that are now being formulated at various levels of the department, i.e., bureau, service, regional, district and division.

The Department also has to find ways to manage the impact of certain government policies that affect its HR management and development. For example, the implementation of HRD programs is adversely affected by Administrative Order No. 103 on Austerity Measures. Approval from the DBM is needed prior to conduct of training and other capacity building programs. The impending implementation of the Rationalization Program of the Department has a great implication on qualification standards and position classification, and the operationalization of the Personnel Information System.

4. *National Economic Development Authority*[4]

The National Economic and Development Authority is the country's highest socio-economic development planning and policy coordinating body. It commits to continuously identify, deliver and improve poverty alleviation mechanism and programs of the government, to assert and implement sustainable development and to realize productivity and performance in highly competitive international markets.

Mission:

As members of the NEDA family and of this nation,
We are committed to uphold the Constitution
And the ideals of a nation united.

Ours is the task to formulate development plans
And ensure that plan implementation
Achieves the goals of national development.

In the performance of our mandate,
We shall be guided by the principles
Of private initiative and devolution of powers
That greater people participation in the
Development process may be achieved.

Guided by our faith in God and an inspired leadership,
Our hallmarks as a development institution
Shall be founded on unity and solidarity
And on the integrity, professionalism and
Excellence of each and every staff.

We shall be transparent in all our actions
And continue to adhere to the highest

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[4]Sources: NEDA Institution Profile (Program Year 2009-2010) and http://www.neda.gov.ph/about.asp

Tenets of public ethics.
For ours is a caring agency responsive
To the needs of every member,
While working for the welfare of all.

Business Profile:

The NEDA Board is the governing body that sets major development policy directions for the Philippines. It is composed of the President (as the Chair), the Socioeconomic Planning Secretary as Vice Chair, and designated department secretaries as members. Assisting the NEDA Board are five Cabinet-level inter-agency committees:

- Development Budget Coordinating Committee
- Infrastructure Committee
- Social Development Committee;
- Investment Coordinating Committee; and
- Committee on Tariffs and Related Matters.

The NEDA Secretariat, headed by the Socio-economic Planning Secretary, coordinates the formulation of medium and long-term socio-economic development plans; monitors approved national, sectoral and regional development plans, programs and projects; programs allocation of resources, particularly Build-Operate-Transfer and Official Development Assistance resources; and promotes and applies market mechanisms to rationalize economic incentives and rents. In the Philippines, endemic poverty remains a major problem with a 30% of citizens living below the poverty threshold.

Baseline Capacity Assessment:

Prior to firming up the partnership with NEDA, PAHRDF facilitated a baseline analysis of the agency's internal processes and staff competencies to determine its capacity to pursue its strategic directions and planned change agenda. The output of the analysis was envisioned to guide the Facility in determining the possible PAHRDF HR solutions for NEDA.

The analysis focused on the three Capacity Areas, namely: 1) Administrative Governance; 2) People and Organization Development; and 3) Service Delivery, and the five Sustainability Attributes; i.e., Competencies; Accountability and Ownership; Consistency of Practice; Assessment and Continuous Improvement; and Executive Sponsorship.

In Administrative Governance, Sustainability Attributes for Planning and Policy, Project Development, and Information and Communications Technology were mostly evaluated as minimally or partially present. It was noted that people in the Internal Planning and Evaluation Division (IPED) need to develop competencies in strategic and operations planning. In the area of budgeting, the IPED staff still lack skills on: linking budget resources to physical plans; costing of major Final Outputs; and determining the criteria/formula for

resource allocation for various agency programs. Relative to monitoring and evaluation, the IPED staff still lack the capability to conduct a proper assessment/evaluation of agency work programs vis-à-vis targets, determine the performance impact and recommend corrective measures. While people involved in project evaluation are highly proficient in the economic and financial analyses aspects, trainings on "Value Engineering" need to be put in place to further strengthen the staff's competency. Minimally present are in-house competencies in ICT planning, ICT policies and standards formulation, and ICT development. Sustainability Attributes in Administrative Service Procedures and Systems are largely present. There is an existing Financial Management Information System (FMIS) being used by the Financial and Accounting Services, and there is an existing Procurement System that is linked with the Government Electronic Procurement System, based on RA 9184.

Competencies in People and Organization Development are minimally present. There is no structure or system for leadership and team development. The last team building initiative for top level executives was in 1998 yet, and the supervisory training that was provided for supervisory and middle management positions as required by the Civil Service Commission has been discontinued because of AO186 (Austerity Measures). There is no succession plan and the skills to do it; there is no pool of next-in-line employees who are ready to take on managerial posts. The existing HRD Framework has not been updated since 1991. No formal training needs analysis has been conducted in the organization. There is a need to develop skills in developing and implementing a competency-based HRD Plan and Performance Management System (PMS). Knowledge and skills on change management and organization design likewise need to be developed.
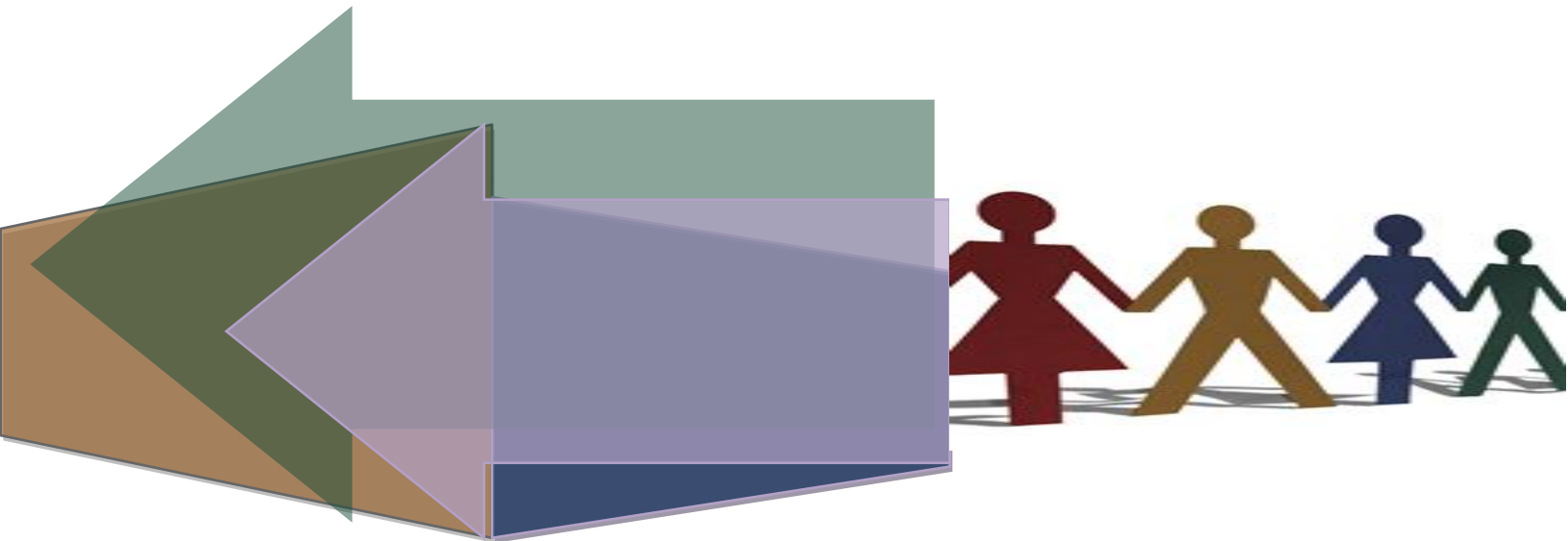
Australian Government
AusAID

The PAHRDF Capacity Development Model and its Applicability across Various Types of Institutions

Compilation of Data Gathering Reports for Large Institutions

July 2009

Department of Budget and Management

Date and Time	01June 2009; 9:00 AM – 12:00 PM
Venue	Office of the Director, Administrative Service, Mabini Hall
Present	1. Glo Lauzon, Director for Administrative Service
	2. Lolita 'Beth' Matias, , Chief, Administrative Officer (LTT Scholar)
	3. Myrna Chua, Administrative Officer
	4. Cora Garcia, Director, Organization and Position Classification Bureau

I. PAHRDF Framework

<u>Respondents' Appreciation and Understanding of the Framework</u>

- The goal of PARHDF is geared towards service delivery to clients but the people performing the process are the ones trained. It started with PAHRDF asking DBM its change agenda, after which the DBM identified gaps and areas for enhancement. PAHRDF then came in to identify possible solutions that will enhance individual capacities thus improving service delivery.

- The group agreed that the presentation of the model is clear, though the illustration does not depict the three elements of e-Business, Facility Management and Mand E as support processes of the facility.

<u>Respondents' experiences with regards execution and operationalization of the framework</u>

- At the start there is a need to introduce proposed PAHRDF projects for executive sponsorship and to secure buy-in to ensure success of the training intervention.

II. Defining and Outstanding Features of the PAHRDF Model

<u>Strategic and Targeted</u>

- PAHRDF has a very strategic approach (aligned with the needs of the organization). Participants' involvement is very rewarding for both local and foreign trainees. (In terms of acquiring new competencies; e.g., TNA, course design).

- Identifying competency gaps as part of the HR analysis (prior to developing interventions) is one good feature of the model.

Workplace Training Approach and Process

- People are trained exactly on what they are supposed to do. There is an action plan to pursue and opportunities to apply the learnings.

- One unique feature of the PARHDF model is that assistance does not end in classroom training. It continues several months after for the development of the REAP, through continuous coaching and mentoring. The coaches go to the workplace and/or call regularly, and they assist in uploading the REAP.

- There is continuous support (more than M and E) given by the Facility to ensure that learnings are applied in the workplace. PAHRDF would also ask the progress of the REAP after six months and do close monitoring.

III. Strengths of the Model

- The group appreciated the value of targeted selection of participants and alignment of the interventions with the agenda of DBM. This alignment helped them identify competencies they need to improve on, and meet the requirements of making the strategic shift from being transactional to providing deeper analysis and evaluation of agency budgets.

- Contracting to training service providers is an effective approach. In general they find the TSPs acceptable/satisfactory. (In one instance, the TSP even called a reluctant participant when it learned of the indecisiveness to attend the training.)

IV. Tangible Gains

- Total staff trained: 80 personnel in leadership, 15 personnel in HRD, four LTT (one staff on HR, two for policy, and one in financial management), about 15 in RSPI. There is a total of 110 people trained.

- Competencies gained: The group was happy to note that they learned and had an idea of how training evolved, and they became familiar with the training cycle, knowledge of TNA, course designing and competency profiling.

- For Dir. Lauzon, the leadership training heightened awareness of their roles, resulting to alignment of personnel and organizational goals. She felt that the training will help them perform their roles as leaders/pillars, as the future of DBM rests on their shoulders.

- Ms. Matias believes outcomes will be seen over time. The sustainability aspect comes in after equipping the staff, but continuous support and executive sponsorship should also be present for sustainability to happen. Management should realize the value of consistency of practice in ensuring sustainability of gains from the intervention.

- When they started the RSPI (recruitment, selection, placement and induction) project they went into competency profiling, and identifying competencies unique to the position. They acknowledged that competency-based profiling is the current trend in Australia.

- Before the intervention, HR personnel did not know how to conduct training, how to do TNA, program designing, and manage the actual conduct of training. With the PAHRDF project, they did hands-on TNA with the help of the service provider, and had the opportunity to present the outputs for critiquing. They were also asked to design a course based on the results of the TNA, run and evaluate the training course.

- In the past, training of DBM employees is not aligned with what the staff is supposed to do; this has changed with the PAHRD engagement.

V. Facilitating Factors

- USec Laura Pascua was very appreciative of the project and gave her full support.
    - Office orders were prepared to enjoin the participants to attend the training.
    - Counterpart funding was provided in the form of time and resources.

- The regional offices agreed to shoulder the travel expenses of regional office participants, indicating their support and interest.

- The REAPs were presented to senior officials and given the go signal. They were also given some assurance of support.

- As to the ease or difficulty in inviting participants, the interviewees said that they communicate constantly by using 'spark' (their intranet), which is similar to yahoo

messenger. An incident they cited: There were two participants from the regions who were not able to attend the sessions but they were regularly informed of what is happening. They have open communication lines because of the e-budget. Sufficient communication helped a lot for the participants.

- MMLDC has a good approach (training and coaching) and has established good relationship with the participants.

VI. Hindering Factors

- Even at the planning stage, time and resources compete with other priorities of the organization. The HR team had to 'sell' the project to other stakeholders and give part of their time without sacrificing the mandate of the agency.

- Work in DBM is non-programmable as it is demand driven. DBM is on the reactive side and it cannot set aside work to be regularly done as it is responding to the external agencies and demands from the internal management.

- Participants were not able to sustain the project tasks assigned because of other work commitments. The projects competed with their time particularly during budget preparation period. Dir. Lauzon believed that DBM assistance to other agencies in developing their rationalization plan was a hindering factor. The staffs made it as an excuse and it dampened their interest in the project.

- The DBM gave up two training slots, one STT and LTT because Personnel experienced difficulty in the selection, and could not identify participants. Dir. Garcia explained the two slots were given up because there was no definiteness of assignment of personnel as there were changes in assignment during the selection period. There was a time that the DBM structure was fluid, and staffs were detailed to other offices within the agency. The Personnel Division had few staff during the time of selection and priorities were different then. Time element was also a constraint since they were not given enough time to select participants. They were given a short response time (less than a month lead time).

- Buy-in among members of the directorate was not enough even when the program was discussed with the directorate and senior officials to ask for their support.

- The role of the TSP is very important. In the RSPI project, classroom approach was used by the coach and was not sensitive to the environment and needs of the trainees.

VII. **Insights and Learnings from the Application of Capacity Development Framework in the Institution**

- Going strategic means there is a need to go beyond transactional operations of DBM. This further means influencing the incorporation of HRD function in every agency. This also includes identifying and attending to the other the needs of government employees, aside from compensation.

- Leadership development is very important to prepare and enhance the capacity of the new crop of leaders that will replace key people who will leave the agency with the implementation of the rationalization plan. Leadership and HR programs should also be in place to make the work of senior and middle managers more meaningful so they will stay in the department rather than look for greener pastures.

- There is a need to strengthen the HR group so it can be the core group for internal HR development. (Training Information Service or TIS will handle external training.)

- The group agreed that it is easier to create buy-in if the people concerned have an appreciation of the project.

- To sustain the intervention, there is need to target the right people.

- Without top management support, nothing will happen.

VIII. **Enhancements and Suggested Next Steps**

- Provide more time to select participants. There have been instances when the same participants were selected to attend different training programs, because they are the only ones who were available.

- The group strongly believed it is important to have rapport and friendly relationship between the trainee and the mentor. It should be ensured that mentors are properly oriented/trained on the mentoring process.

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Notable Incidents

- The HR Contact, Dir. Glo Lauzon provided a copy of the letter to USec Laura Pascua's secretary for her information. This made USec Pascua aware of the activity.
- It was difficult getting in touch with USec Pascua. Until the day of the interview the project team was not able to get in touch with her. Nonetheless, Commissioner May Fernandez was able to talk with her separately.
- The interviewees were accommodating and treated the project team to snacks and lunch.
- The interviewees were open in sharing their experiences, insights and learnings.
- In sharing their experiences and insights, the group focused more on the problems confronting DBM and did not give much emphasis on the limitations and features of the model.

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Department of Public Works and Highways

Date and Time	03 June 2009; 9:00 AM – 12:00 PM
Venue	Office of the Assistant Secretary Raul Asis
Present	1. Raul C. Asis, Assistant Secretary 2. Burt B. Favorito, Director III (HR Contact) 3. Alma M. Lim, OIC-Training Division, AMMS 4. Rosalinda J. Juria, OIC-HR Planning Division 5. Jesette C. Campomanes, HR Management Assistant 6. Ricardo P. Estrera, OIC-Training Program Implementation Section 7. Geronimo S. Alonzo, Project Manager III 8. Ma. Rowena R. Pacubas, OIC-Personnel Division, AMMS

I. PAHRDF Framework

Respondents' Appreciation and Understanding of the Framework

- Dir. Burt Favorito: Everything is in the model. It captures the development agenda and internal change agenda. It shows how increased capacities of individuals and the organization can translate to improved service delivery. The DPWH-PAHRDF engagement is more focused on people and organization development.

Respondents' experiences with regards execution and understanding of the framework

- The agency went through the process of defining the capacity level of DPWH, after which STTs and LTTs were identified. All directors in the central office joined the consultation workshop where it was agreed that the focus areas would be in operations planning and strategic planning.

- Dir. Favorito: The LTT REAP provides more learnings to the institution and has a wider coverage. In the DPWH process, they were made to identify three areas they wanted to pursue, preferably: testing center, personnel information system (PIS), and succession planning. The organization preferred PIS since it is a priority.

II. Defining and Outstanding Features of the PAHRDF Model

<u>Workplace Training Approach and Process</u>

- <u>Mr. Gerry Alonzo:</u> For him the group REAP (per region) is too general but there was good implementation.

- <u>Dir. Burt Favorito:</u> The workplace training is the area to accomplish the change agenda. It is the bridge to accomplish the goal. It may be difficult to measure the impact of training per se in terms of cost effectiveness, but the real impact of the HR or training intervention can be seen in its contribution to achieving the organization's development and internal change agenda.

III. Strengths of the Model

- <u>Dir. Favorito:</u> Institutional profiling is the strength and it should be present in all organizations, i.e., make it a natural and regular process in every agency of the government.

- <u>ASec Raul Asis:</u> The model adopts an approach where the agency itself does the task through mentoring, as against using consultants. He mentioned that for technical work like flood control, having a technical consultant is a more applicable approach but in other areas, coaching is better.

- Mr. Estrera believes the approach as a whole is good and it should be practiced in all government agencies.

IV. Tangible Gains

- DPWH started the project formally in 2008 with six LTTs, four are ongoing, two have been completed, and over 100 personnel trained. There were seven batches of leadership training conducted for district engineers and the division chiefs.

- <u>Ms. Pacubas:</u> The HR chiefs attended symposium on change management and succession planning. They were also trained in coaching and mentoring. As a result, they can apply the learning's in the workplace and can assist their scholars. Moreover, the HR Department currently practices succession planning. In her case, she can echo the learnings to section chiefs, and potential leaders and supervisors. She is also actively involved in the REAP implementation, and is a mentor to Ricky Estrera and Jesette Campomanes.

- With Ms. Campomanes' hard work, the PIS, is into its full implementation in the Department. The PIS modules on plantilla, personnel data, leave, and performance evaluation are not yet developed but there are four modules that are already working. A refresher course was conducted to help personnel people appreciate the system for their eventual use. More importantly, the Personnel Division realized the inter-relatedness of its three sections (employment and welfare benefits, employment and staffing) after the refresher course.

- <u>Dir. Favorito:</u> The HR division chiefs conduct informal sessions on Saturdays as a form of self development exercise (particularly Alma Lim's group), and every section in training prepares its own presentation for the exercise. The HR group now adopts an integrated approach in delivering its services; this fosters teamwork among members of the unit.

- <u>ASec Asis:</u> Because of AO103 (austerity measures), the department had limited training opportunities. It was the Department's initiative that the staffs were able to attend training ("sariling sikap"). For example a refresher course was conducted in the office with each participant providing for his/her own snacks. During the project engineer's course (one month training) the participants had to forego the expenses for food. The Department does not avail paying courses and the staffs attend on official time. When PARHDF came in they were really 'hungry' for training (right timing of PAHRDF).

V. Facilitating Factors

- <u>Mr. Ricky Estrera:</u> There is executive sponsorship, and support for the REAP which contributed to its successful implementation in the agency. He added the REAP on leadership development was aligned to Administrative Order 255, the Moral Recovery Action Plan, to make it more relevant.

- The lecturers for the leadership training were engineers so they can easily establish rapport and connect with the audience as they have an understanding of the DPWH process. This was a marked improvement from Phase I of the project wherein the lecturers were non-engineers. This was made possible because the Facility listened to feedback from the agency and acted on the concern.

- Ms. Jesette Campomanes is persistent in implementing her REAP (PIS) and does regular follow-ups with her data sources so she can complete the PIS database.

- Monitoring is rigid. Monitoring is done on line and PAHRDF knows the status of the REAPs.

- Dir. Favorito can sit in the MANCOM and he is able to input HR and PAHRDF concerns during meetings. This facilitates quick response and action from management, and helps generate buy in.

VI. Hindering Factors

- DPWH has difficulty selecting participants because of the average age (53) of employees. The more senior ones do not want to attend the STT programs because they are resistant to the idea of undertaking the REAP. The age cap for LTT automatically disqualifies them.

VII. Insights and Learnings from the Application of Capacity Development Framework in the Institution

Ms. Campomanes:

- The functions of personnel can contribute to achieving the strategic vision of the Department.

- STTs are easier to implement.

ASec Raul Asis:

- He underscored the Department's need for HR experts as the division chiefs have retired.

- Experts brought in by TSPs should be familiar with the Philippine culture and aware of the DPWH process.

- Mentoring is a very good approach as internal capacities are built. In the past, things 'die' (are neglected) when the consultant leaves.

- There has to be appreciation at the top to sustain the change.

Dir. Burt Favorito:

- From the TNA conducted they identified the weak areas of leadership and planning so they focused on these. The Department is good with computer-based systems In terms of infrastructure planning. However, there is no office handling organization planning, which is a priority area of the secretary. There is also no corporate planning office working for the direction of the agency.

- Workplace training accounts for 70% of learning's but there should be a coach, compared to the usual classroom type which accounts for a mere 10% and peer training, 20%.

- The HR Department should consider having a package of comprehensive HR development programs that will address the needs of the agency.

- The REAP is 'double bladed'. It is needed to ensure application of learnings from LTT programs. However, it may not be appropriate for STT programs, especially since these are attended by the more senior officers who are not keen in doing the REAP.

- The challenge that remains for the Department is replicating the best practice (operations planning as a result of the leadership training) to the bureaus and other units in the Department.

Ms. Pacubas:

- She observed that PAHRDF is not consistent in its selection of participants for training. She cited the following: Ms. Campomanes was accepted although she is a 1st level employee. However, another 1st level nominee was not accepted for the second batch of scholars.

- There are several staffs with potential who are not promoted. Sending them to training is one way of motivating them.

Mr. Alonzo:

- DPWH should have a technical working group that will review the REAPs, especially since the REAP of the bureaus is too general and not attainable, and mostly motherhood statements.

VIII. **Enhancements in Features and Processes**

- Improve the selection process (age and the level). The group believed that the higher the level of the trainee the greater the impact to the organization in terms of learnings brought back.

ASec Asis:

- Benchmarking is still okay. He suggested sending trainees to local universities instead of abroad as the education system in Australia is different. Applicability to local conditions is the most important and culture plays a big role in the study. Scholars may experience culture shock if sent to training abroad. The returning scholar cannot at once apply the learnings in the workplace because the local conditions confronting the staff are different from what the conditions abroad. Thus

the trainee should study in countries with the same level as that of the home country (i.e, "developing to developing").

<u>Dir. Favorito:</u>

- He suggested that a pre-requisite for pairing mentor and mentee is the level of trust between the two. The mentor or coach should also highly credible, short of resulting to the mentee 'idolizing' the coach or mentor.

- The LTT can be conducted locally and not necessarily geared towards foreign training.

IX.   Suggested Next Steps to Improve the Framework

<u>Asec Asis:</u>

- Mentoring and coaching per se are good approaches but there is need to look at the calibre/competency of the coach. PAHRDF has to make sure of that the coaches are knowledgeable of the content and process of the intervention.

<u>Mr. Estrera:</u>

- 'Conduct training locally and benchmark abroad'. He suggested conducting the first two trimesters locally and benchmark abroad for the last trimester.

- An area for improvement: professionalize the sending off of the participants such that PAHRDF should send off/accompany participants to the airport. As most of the participants come from Visayas and Mindanao, it is generally their first time to travel abroad and ride the plane. They feel stressed especially when the visa is released on departure day.

X.   Other Comments

- <u>ASec Asis:</u> The HR unit is currently weak. According to him when Ligaya Jorge, then HR Chief left the agency, nobody with her competency took over the Service. The Service had no designated assistant secretary and was headed by engineers handling the HR function.

- <u>Dir. Favorito:</u> The weakness is really leadership training. Even the CESB had no training for division chiefs even though the priority was training the executive level. Managers at the district level had limited formal training on leadership but are given major responsibilities.

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Notable Incidents

- The HR Contact, Dir. Glo Lauzon provided a copy of the letter to USec Laura Pascua's secretary for her information. This made USec Pascua aware of the activity.
- It was difficult getting in touch with USec Pascua. Until the day of the interview the project team was not able to get in touch with her.
- The interviewees were accommodating and treated the project team to snacks and lunch.
- The interviewees were open in sharing their experiences, insights and learnings.
- In sharing their experiences and insights, the group focused more on the problems confronting DBM and did not give much emphasis on the limitations and features of the model.

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National Economic and Development Authority (NEDA)

Date and Time	05 June 2009; 9:00 AM – 12:00 PM
Venue	2nd Floor Conference Room
Present	1. Nestor R. Mijares IV, Deputy Director General 2. Librado F. Quitoriano, Director (HR Contact) 3. Lelina A. Quilates, Chief, Administrative Officer 4. Ma. Lourdes A. Baguisi, Acting Chief, HR Division 5. Virginia Atenta, Chief, Administrative Officer 6. Wilfredo De Perio, Chief, EDS

I. PAHRDF Framework

<u>Respondents' Appreciation and Understanding of the Framework</u>

- <u>Ms. Malou Baguisi:</u> Capacity development starts from the individual, cascades to the development of the organization, and eventually to improving peoples' lives. PAHRDF has definition for each of the sustainability attributes such as: 1) competency is having enough number of people to do the job well; 2) accountability means there is ownership of the process; 3) assessment and continuous improvement are work in progress; 4) executive sponsorship pertains to somebody championing the effort to institutionalize and accept the change agenda.

<u>Respondents' Experiences with Regards Execution and Operationalization of the Framework</u>

- <u>Ms. Atenta:</u> She is new in the program but appreciated it upon understanding the very good concept. PAHRDF has very good and focused interventions for agencies; capacity building has ripple effect to the organization. She finds the implementation of training interventions as too as fast-paced, that they sometimes get pressured about satisfying PAHRDF requirements (e.g., REAP projects, M and E documents).

- <u>Dir. Quitoriano:</u> His involvement was during Bob Wilson's time, starting with an assessment/analysis of the organization. NEDA personnel were invited to respond to a capacity assessment survey after which projects were identified. Administrative concerns were first addressed because PAHRDF's focus is HR.

- <u>Ms. Baguisi:</u> She was involved in developing competency profiles with Leny Quilates. She attended activities on establishing a performance management system, coaching/mentoring. She also participated in the organizational leadership training and business system (which included concepts on e-learning and web-based orientation for new employees).

- <u>Ms. Quilates:</u> She attended the PAHRDF orientation and a meeting where organization profiling was explained. Organization profiling was done and gaps were identified in HR particularly in the areas of job profiling, performance management system, quality management, business systems, and organizational leadership. HRMD planning was the first program and the team carried out competency-based assessment of the job profiles as input to the HRMD plan.

  In doing the job analysis they saw the duties and responsibilities are mixed-up, thus actual duties were mapped out, and competencies for particular positions were identified. Competency-based profiling was completed for the regions while only the Admin was completed for the central office. There were 8 "fall-outs" in the process. Of the remaining 12 pax, 8 received certificates of competency (one has resigned and transferred to Central Bank), while 4 received certificates of completion.

II. Defining and Outstanding Features of the PAHRDF Model

<u>Workplace Training Approach and Process</u>

- The workplace training approach is what makes the engagement different from other technical assistance. For them, it refers to hands-on or on the job training.

- <u>Ms. Quilates:</u> The approach means getting live data from the workplace, with the participants producing the outputs themselves.

III. Strengths of the model

- The overall model is appropriate. However, across the bureaucracy application will vary greatly.

- <u>Ms. Quilates:</u> The model is very much applicable because there is organizational profiling and competency gaps were identified. It is a focused model, which will eventually improve the lives of people through capacitating of the individual. When competency gaps were identified the agency made sure that the outputs could be delivered by the people attending the program since they are capacitated to produce the output. The M&E then will show if the outputs are really done by the people capacitated through the intervention.

IV. Tangible Gains

- <u>Ms. Atenta:</u> She was happy to report that the PMS team is very active and leads in the training. The members continue to refine the output, which is a manual on the NEDA Integrated PMS (NIPMS) wherein individual contribution can be determined. They have a group REAP but rolled out the PMS to different offices so as to let others see how the system works. The output of NIPMS included a coaching guide, which was expanded into a coaching and counselling guide. They tried to revise the guide to focus on coaching but they received limited inputs in coaching. The application of the system, coaching in the workplace covers all supervisors. The output is competency-based already and this is what makes it different from the other performance management systems.

- The regional directors have acceptance of the NIPMS as evidenced by the comments and questions that surfaced after the PMS team conducted a presentation. This meant the regions saw the importance of the PMS and welcomed it more than the central office, which still studies the process and approach. The team plans to conduct regional briefings after the installation of the system.

- <u>Mr. De Perio:</u> According to him in the 33 years that he has been with NEDA there was no leadership training conducted but only supervisory training. He learned and practices coaching and mentoring and acquired leadership skills specifically the concept of management wherein he understood the accountability of the boss in relation to individual performance of the subordinate. He further explained this means keeping cool even if his staff has committed errors in the work or has done inadequate work. This is an indication according to him that he was able to apply the learning's. When he was transferred to his current division, the records for 119 projects were not in order, and there was no system. He wanted to have a system but did not know how to influence the staff. In the leadership training he learned to influence and motivate people.

- <u>DDG Mijares:</u> He believed the training went beyond theory and concepts and gave the participants the chance to practice and apply the theories and principles in real life situation. Openness is influenced by the organization itself. The orientation in NEDA – knowledge is power.

- <u>Ms. Baguisi:</u> She learned competency profiling, developing training specifications (workplace development objectives). Similarly she knew how to write behavioural indicators and translate these into observable indicators.

- <u>Ms. Quilates:</u> She learned how to prepare competency-based job profiles. She became more scientific on how to come up with job specifications, which radiated to competency-based profiling. She learned interviewing techniques using behavioral

events (better than the traditional way of doing it). She was part of the team that oriented those that did not participate in the program**.** In PMS, her new learning is counselling, which includes convincing the individual to say what he/she wants in order to have ownership. However, she has not fully accepted the concept of counselling yet as the solution comes from the recipient. As to the leadership training, she found out that she has indeed modelled the way and applied the leadership practices in her workplace. Most of all she got to know TSPs that added to her network and she was able to use the connections. Most of all she can use the learning's even after she leaves NEDA.

V. Facilitating Factors

- There is executive sponsorship, which is critical because the intervention will not prosper in its absence. Similarly, all elements of sustainability are critical as well. However, the group was not sure whether executive sponsorship will be sustained if there is a change in administration or leadership. According to Ms. Baguisi, there was a lull in the project when she left for scholarship. The project took off only when Ms. Quilates and Dir. Quitoriano were involved.

- <u>Ms. Atenta:</u> There is strong support from the bosses especially DDG Mijares, although he comes in very strong at times, and causes delay.

<u>DDG Mijares:</u>

- It was the first time he understood the concepts and theories, and as a result he now has better working relationship among the bosses and the staffs as they have the same level of understanding. There are now a number of people speaking the same language, and better committed to the HR project. It is attractive to the staff as resources allow for the best to be provided to the participants.

- The TSP and contractors employ state of the art learning techniques and have shown their adaptation of the latest technology to the agencies. They have actually shown the application in the workplace.

VI. Hindering Factors

DDG Mijares' observations:

- The end in mind has so far not been achieved yet, DDG Mijares would like to believe. Within the admin staff they have realized the importance, understood better the significant role of HR in the agency, but the staffs are not yet competent to take on the responsibility of furthering HR interventions. NEDA personnel have realized that the units within the whole organization should be partners of HR. There are still nominees

that are not supposed to be nominated. Although the selection process was improved there is still difficulty in selecting the right people for training.

- Leadership is still a problem as regards NIPMS acceptance. Although the regional offices welcomed the NIPMS, the central office is not yet keen on embracing it since people think that PMS is not their core function, thus they are not yet willing to invest in this project. The PMS team tried to resolve this concern by reaching out to the staff, inviting MANCOM in advance to do away with the reason of short notice.

- The model requires executive sponsorship but in reality it is very difficult to attain. Internally, it is not easily nurtured in the agency. Activities in the training program to create buy in are not sufficient to generate executive sponsorship; this at times to executive tolerance.

- Once the training starts the activity becomes a personal interaction with the trainee and the TSP, and the relationship with management is detached. The relationship between the trainee and TSP is what remains, and management is left behind as regards the status of the activity and the progress of the trainee.

- PAHRDF has no facility to update partner organizations as to the status of the interventions in other agencies. According to him he is no longer invited to PAHRDF activities and thus missed the opportunity to further strengthen executive leadership. Furthermore, there is no networking of participants across the bureaucracy.

- He considered this a gap: No linkaging with other participants from other agencies, which he called the 'brotherhood movement'. For example, there is no official function where the bosses of different partner organizations are brought together, no learning sessions are conducted, no cross visits during training, no venue for sharing experiences, and no observation tours to let agencies understand the nuances happening in other organizations. He emphasized that even 'dysfunctions' are learning sessions, which should be shared.

- Even if the supervisor commits to training of the staff it eventually curtails the learnings gained as the regular workload takes over upon return to office.

- There is no sufficient numbers to create the core team or a critical mass given that limited staff members are available to implement the REAP within the set time frame. DDG Mijares believes that to be realistic, NEDA could have a critical mass over a longer period (i.e, beyond the timeframe indicated in the REAP).

- As regards bringing back the learnings, DDG Mijares underscored the significance of the opportunity to practice or apply whatever has been gained in training as part of the expectations. However, this could not be done owing to the workload of the staff. He was apprehensive given this reality on how quickly the learnings could be shared with those who will remain in the agency. He added the paradigm of sharing the learnings

has not been internalized because come crunching time the staff set aside PAHRDF requirements, thus what is supposed to be done in the REAP is sidelined.

Dir. Quitoriano:

- NEDA in general and the staff in particular were used to consultants working in technical assistance projects so the staff had difficulty during the workplace training because they actually worked hands-on and were expected to be paid honorarium for their involvement.

Mr. De Perio:

- He pointed out that managing the REAP process is a concern since the staff are not used to having a REAP. He wanted to know what will help the staff in this area as there is no REAP in other training programs in NEDA. According to him his staff had no choice but to do the REAP. For Ms. Baguisi regularity and continuous practice would help in managing the REAP process.

- Ms. Atenta: Interventions are implemented one after another such that there is overlapping of training schedules. The attendees are the same HR participants in the various training programs.

VII. **Insights and Learnings from the Application of Capacity Development Framework in the Organization**

Mr. De Perio:

- It could be said the model is acceptable to management and the rank and file if there are organizational benefits that they could derive from it. For the change to be sustained there should be resources available.

- Monitoring outputs is easy but the impact cannot be seen unless an impact evaluation is done. However, it is difficult to formulate benchmark indicators in impact evaluation, which is looking at how effective the technical assistance was in terms of individual contribution to the NEDA performance. – relate to NIPMS

Ms. Atenta:

- The model is very much applicable and relevant to NEDA. The workplace training is a very new concept to her but she was thankful that staff were required to produce the outputs.

DDG Mijares:

- As a response to Ms. Atenta's suggestion he stated that the REAP is embedded in the model. He added there are other training organizations using the REAP like DAP, CESB, and some JICA programs. He remarked the REAP is individual-based and not known to everyone in the agency unless extra effort is done to introduce or familiarize the others about the REAP. – TITLE OF THE REAP should be able to capture the importance of the REAP so that attention is given. – Insight> REAPs should be communication across the organization.

- Executive sponsorship will take a long time to generate. There are individual champions at the start but organizational champions have to be built overtime.

- Across the participant agencies there are many opportunities for creating support from each other as PAHRDF has created good understanding and transformed into values the belief that this is the right way to go. It is better to nurture the learning's even after the training. This is not part of the training and not built in as only annual sessions of sharing and updating are held. – add to opportunities for sharing

- He also felt the time frame is short for the REAP as it came in the midst of rationalization. They experienced difficulty in selecting trainees to make sure the people they send to training are those that will not be assigned to other positions. The rationalization may trigger a change in the organization which follows that the perspective will change, too. An example he cited: During training Ms. Atenta's appointment was in financial management but the gap/problem was in HR. She was from the Management Staff and her competency is in management and not HR. Part of the tension is the REAP because it prescribes activities in the original unit where the scholar is assigned but there is fear of being re-assigned to other units under the rationalization. The current reality becomes a barrier to selection.

VIII.   Enhancements in Features and Processes

- Service providers should devise ways to update the supervisors/directors of the participants on what is happening in the training.

- One way of enhancing the model is addressing executive sponsorship and the expectations at the onset.

IX.   Suggested Next Steps to Improve the Framework

- The leadership training should include directors and higher levels (MANCOM) in order to have the same level of knowledge across the different offices in the agency.

- Those that have not yet been promoted (OICs) should have attended the leadership training.

- He suggested including a component that will strengthen executive sponsorship outside of organizational leadership.

X.   **Other Comments and Suggestions**

- NEDA is not yet at that level of openly giving feedback, as it is not a regular function of management. There are no structured ways of giving feedback in NEDA. Normally the staff do not give value to trivial matters such that there should be emphasis on the level of importance or urgency to merit attention for feedback.

- So much time is spent in bringing information to the right people and he sees hierarchy as the barrier. Information gets to be filtered somewhere in the hierarchy and may not reach the top. Employees are aware of the hierarchy so much so they go through the bureaucracy and there is no chance to rectify errors, if there are any as to the accuracy of the information relayed.

- PAHRDF has no support for re-aligning/re-directing resources allocated to training (to be used for other purposes) in case there are no suitable nominees selected.

Notable Incidents

- DDG Ting Mijares was antagonistic during the confirmation of the interview schedule. However, he offered his apology regarding his hostile attitude after the interview.
- Although it took some time to confirm the data gathering schedule with Dir. Quitoriano (the project team was able to reach him only last June 2), his staff did their part in informing him of the date. It was then easy to get his *commitment* to attend the June 5 interview. He did not participate actively during the interview. He was out of the room most of the time when DDG Mijares joined the group.
- The participants shared their insights and comments in the presence of DDG Mijares.

Department of Education

Date and Time	09 June 2009; 9:00 AM – 12:00 PM
Venue	EDPITAF Building, 2nd Floor Conference Room
Present	1. Jose Lorenzo Ruiz Mateo, Assistant Secretary 2. Nerissa L. Losaria, OIC-Chief, SDD-HRDS 3. Melody L. Liwanag, LTT Scholar

I. PAHRDF Framework

<u>Respondents' Appreciation and Understanding of the Framework</u>

- Assistant Secretary (ASec) Jesus Mateo is quite happy with the model as it looks alright to him. It is a good model as it is always directed to the agenda of the organization. He commented the framework is drawn from the perspective of the provider and not the recipient. It gives a snapshot of the relationship between the facility manager and recipient. The recipient undergoes workplace training, which takes into account the larger picture that is agenda of the organization. The agenda should contain other elements aside form competencies that contribute to effective service delivery. Service delivery is the core, administrative governance and people/organization development will change the manner of service delivery once they are improved.

- Ms. Nerissa Losaria saw the model during the organizational profiling workshop where they identified the elements under each attribute.

<u>Respondents' experiences with regards execution and operationalization of the framework</u>

- When the program was launched in the Department the group needed a buy-in from internal and external stakeholders, which they were able to obtain. There was an orientation for the Department personnel for them to imbed the reform agenda in the different programs and activities in the organization. They engaged the education associations like teachers, principals, supervisors, regional directors, etc. During the annual convention the participants saw the need for and agreed to a transformation. They discussed the program with AusAID and were able to partner with PAHRDF. They agreed to put in one comprehensive agenda and the design of the training program was anchored on the BESRA.

- ASec Mateo: An indicator of the acceptance of the program is when people talk about the agenda, and they are involved in implementing their REAPs. A good sign too is when personnel 'embrace' what they are supposed to do. As he is known as the 'face of the reform agenda' he gets reports from the trainees. The direction is in place by the scholars' implementation of the REAPs. He is also consulted, which is a reflection of how to enhance the agenda. There is clear alignment of the work with the reform agenda.

II. Defining and Outstanding Features of the PAHRDF Model

Workplace Training Approach and Process

- Ms. Losaria: She defined workplace training as a method in the workplace that guides processes, decisions and actions.

- ASec Mateo believed that the REAPs as a tool, is useful as it gives them a sense of direction. They see the value of being monitored and he strongly felt government should be monitored by government, too. There is consciousness now on policy implementation in the Department as people get to be involved in it policy making. If a certain policy is not implemented the DepEd is open and willing to change such policy. It also imposes sanctions or penalties for non-compliance.

III. Tangible Gains

- The Finance and Admin REAPs center on the policy action of the BESRA and an offshoot of this is Procurement Manual. The Finance office revisited the financial management system (FMS) manual, and the group came up with a national orientation for the non-teaching group. As a result, the BESRA sessions are already integrated in the regional training.

- ASec Mateo believed the leadership training (STT) is a big help since it complemented the leadership development program of the AIM attended by possible change agents in the organization such as the officials of the employees' union, admin/finance of almost all offices, undersecretaries, assistant secretaries, directors and superintendents. Most of the participants that attended the PAHRDF training are from operations. Other assistance from AusAID included BEAM2, STRIVE2[1], education performance incentive partnership, and SPHERE[2], a support to basic education reform which includes hardware, software (training, capacity building and materials improvement).

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[1] Strengthening the Implementation of Basic Education in Selected Provinces of the Visayas
2 Support to Philippine Basic Education Reform

- The human resource information system (HRIS) came from BEAM. It was developed as part of the 5th pillar (organizational culture change) to unify all information systems for the Department to know who will retire. The system is automatically linked to the financial management information system (FMIS) as the Department wanted it to be inter-operable with other systems. ASec Mateo added the Department has discussed the matter with the CSC, COA, DBM and GSIS. The HRIS was rolled out in pilot Regions III, IVA-B, and NCR and will eventually be cascaded to other regions.

- The team of ASec Mateo spearheaded organizational change in DepEd. The organization is going competency-base on the non-teaching personnel and the HR unit and function. The group also hoped that competency-based profiling will not only be used in training and development but in career development and other areas as well. There are three STTs, leadership, HRIS and establishment of HR mechanism. The establishment of HR mechanism was aborted in the meantime. The idea was to strengthen the HR in the long term in accordance with a vision.

- For the LTT, two scholars for HR have finished, three are now in Australia attending project management and planning, research and policy formulation, and human resource development. For the School Leadership Program, new principals will undergo the training. This will contribute to the agenda of DepEd under PAHRDF.

IV. **Facilitating Factors**

- The project is anchored on the Basic Education Sector Reform Agenda (BESRA), which has five pillars: 1) schools; 2) teachers; 3) contribution of society to learning outcomes; 4) early childhood (complementing educational intervention); 5) Organizational/cultural changes.

- ASec Mateo emphasized that it helps if there is a high ranking champion. At the time that the program was being introduced, he was not yet an Assistant Secretary. But he was aggressive in pushing for reforms. There was no anchor initially and there is now the BESRA and a champion/change agent. People now realize there is no sustainable change unless the different aspects like processes, structure and people are changed.

- Integrating the BESRA sessions in the regional training was part of the end in mind with the PAHRDF project according to ASec Mateo. In the process the Department looked at the upstream and downstream effects, which is one way of convincing people to support the reform agenda regarding the policy action on the BESRA. They talked with people who were open to the idea and as soon as the partners embraced the agenda they themselves wrote the policy relative to its implementation.

V. Hindering Factors

- <u>Ms. Losaria:</u> According to her the workplace training concept was not fulfilled in DepEd. The mentor coordinated with them through cell phone only and the Internet. The trainees expected face-to-face mentoring as they looked forward to enhancing their leadership competencies but the original agreement was not followed. Currently she believed they still lack a leadership program although they are strict in monitoring the REAPs.

- On mentoring ASec Mateo pointed out that it was not possible to have the service provider hold office in DepEd. The suggestion was distance education where the chief/head of the unit is the mentor. He further mentioned that with so much workload in the office there was no longer supervision of the REAPs.

- Ms. Losaria opined there was an agreement to come up with groupings for the mentoring as agreed with the mentor and with this set-up the monitoring of the REAPs was okay. The team understood that coaches were really expected to be in the organization. However, there must have been variations of the mentoring agreement according to her specifically for STT. The team has indicated this concern in the on line evaluation thus PAHRDF was aware of it.

- The M&E team was difficult to convene.

VI. Insights and Learnings from the Application of Capacity Development Framework in the Organization

- ASec Mateo observed that good people are pirated after the Department has invested a lot of resources. With the new workplace training approach he hoped there will be no fast turnover of the staffs that look for greener pasture. He also hoped that the learning's acquired by scholars and trainees are brought back to DepEd upon return.

- The leadership training brought about a paradigm shift to the president of the employees union who was then a participant. Prior to being a participant he distanced himself from the reform agenda. After training, there was a change in his behaviour. He has now accepted some of the elements of the agenda and almost every day he calls the office of ASec Mateo for consultations.

- <u>ASec</u> Mateo shared his observations that at the macro level, education should be treated on a bigger human development/capital plan. The budget for the Department is smaller compared to the other national agencies. The structure of

DepEd should provide a champion for HR just like the private sector, where before the HR head was a director, the head is now designated as vice-president. Given the limitations, the organization will pursue its plan of building the capacity of HR units to perform their strategic functions.

VII.   Enhancements in Features and Processes and Suggested Next Steps

- Minor adjustments have to be made in allocating limited resources from AusAID to cover project ideas from recipients.

- It is better to expand the coverage of the program to non-Australian organizations and not limited to Australian organizations only.

- Use the facility of seconding participants outside the country for personal and professional enrichment. A critical aspect is the seconding organization outside the country as the scholar will eventually bring into his/her organization the international perspective. There should be a mechanism to allow government scholars to have secondment with the private sector to gain more experience. The downside to this is that people will look for greener pastures and the government is at the losing end because after training, the scholars leave the organization. The following example was cited: In the Department of Finance (DOF) the undersecretaries and directors get to spend time with the board, and in the process they enjoy the perks and then go back to their assigned government post.

- <u>Ms. Losaria:</u> She suggested adding an online module especially for LTTs so as not to pull people out from the workplace. This she termed 'learning while rendering service'. ASec Mateo would like to further study the suggestion.

- The model is very applicable but there is need to strengthen the M&E on both sides and follow-up the REAP, especially of the Australia trainees.

- Increase the intake for LTT since there are 1 or 2 scholars only and go for 5 STTs. It is better to have a group LTT to be more effective.

VIII.   Other Comments and Suggestions

- <u>Ms. Losaria:</u> The Facility is very good in introducing strategic HR. As a scholar she has seen an integrated HR in Australia. She was concerned as to how DepEd will apply strategic HR with the advent of the rationalization plan. Under the plan, HR functions and personnel and training will be separated as they are abolishing the Human Resource Development Service (HRDS). If the splitting of the office will push

through she suggested including the functions of HR management and development. She also hoped that strategic HR will be realized eventually.

- The Facility was successful in repositioning HR in DepEd. The activities and HR interventions may not necessarily come from HR as everybody is engaged. This is strategic HR, making sure that people in the organization are HR practitioners and not only concerned with their functions in their respective units. The HR Department's function is focused on policy and program identification at present. Personnel, staff development and succession planning are inherent in each office in DepEd currently. *Note: CSC Comm. Mendoza emphasized that moving towards strategic HR requires an office, the HRDC. She suggested expanding the functions of the HR Division and not focused on training (talent management) only. She broached the idea of strategic HR linked with the other offices.*

<u>Ms. Losaria:</u> In the rationalization plan the HRDC and the National Educators Academy of the Philippines (NEAP) were merged. The NEAP is the training arm of the DepEd and only Regions 11 and 12 have a Regional NEAP. In the plan Personnel is under Administrative. She suggested including personnel in HRDC since the administrative function is under general services. <u>ASec </u>Mateo clarified the idea is to have a regional NEAP to provide programs for teaching and non teaching personnel. The set-up calls for an external service provider, while NEAP will coordinate with the organization in the region for the training like leadership. In this sense, NEAP acts as the training manager like DAP.

Notable Incidents

- The team had a difficult time getting to USec Inciong who begged off eventually.
- ASec Jess Mateo at first turned down the invitation but confirmed the week prior to the interview.

Interview with Usec. Laura Pascua and Director Myrna Chua
Pancake House, Commonwealth Avenue, 7:00 pm, June 15, 2009

I.   PAHRDF Framework: Appreciation and Understanding of the Model

Usec. Pascua confirmed the discussions with the group as relayed by Dir. Myrna Chua. She added that she appreciates the framework given its focus on human resource development and capacity building strategies.

The theory and the applications are clearly presented.

II.   Outstanding Features of the PAHRDF Model

Purposive, relevant and appropriate methodologies.

The participative process was noted. This actually happened in DBM.

III.   Strengths of the Model

Responsive to the needs and concerns of the DBM. The partnership came at a time that DBM was addressing the many gaps in its recruitment and selection processes.

Recognized the role of training service providers (TSP). Through the TSPs, expert HR services are provided to the government agencies. The process of selecting TSP was cited.

Noted coaching and mentoring, leadership development, exposure to Australian experiences on HRM as strengths of the model.

IV.   Tangible Gains

Acknowledged the many personnel trained through the partnership. Cited the following programs in particular: the capacity building of the HR personnel and the leadership training program.

Expressed optimism that the HR Division of the DBM will be able to deliver effectively its mandate of recruiting the best for DBM and formulating a capacity building program for all personnel.

V.   Facilitating Factors

The Facility has been effective in engaging DBM's participation. The project staff have been very facilitative. Recalled the early meetings initiated by the Facility staff

to conceptualize DBM involvement. Cited Mr. Mark Flores as "masigasig" and "matutok" especially when the partnership was starting. All these helped DBM to fulfill its role in the partnership.

Recognized the expertise and professionalism of the MMLDC as training service provider.

Despite her busy schedule and inability to attend to some of the project activities, she gets feedback on what is going on.

VI.   Hindering Factors

Being involved in the partnership is "matrabaho". DBM has many competing concerns. It has to respond to the needs and demands of agencies. In particular the DBM has to give priority to the budget preparation processes as it follows specific timelines during each year.

VII.   Insights and Learning from the Application of Capacity Development Framework in the Institution

After the rationalization, capacity building becomes more relevant. Important for organizations to recruit the best people and undertake relevant training programs. Most important are leadership programs.

VIII.   Next Steps and Enhancements

More focus on perform management systems. One of DBM's current concern is how to connect the Organizational Performance Improvement Program with the Office Performance Evaluation System-Perform Management System. Noted that this is being pursued under the PEGR, also through another Australian Facility.

Need for DBM and CSC to work together on an agenda for good governance such as connecting OPIF and OPES-PMS, utilizing performance management systems as basis for giving incentives and additional benefits for government employees.

Suggested that CSC should have a stronger role in the implementation of the next cycle of PAHRDF. It is in position to provide information and insights on problems and gaps in public service delivery and identifying competencies and skills needed by the different sectors in the civil service.

Look into better rewards system to recognize well performing organizations and outstanding employees or group of employees. Committed to find some ways this can be funded through the General Appropriations Act.