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Objectives of the HR Audit Manual

HR Audit manual is a guide for the HR Officers to carry out HR Auditing in the Ministries/Agencies/Dzongkhags. The manual outlines the step by step process to carry out auditing in the entire Civil Service.

HR Audit Policy

- i. Enhance good governance;
- ii. Ensure compliance and uniform application of provisions of the Civil Service Act and BCSR;
- iii. Improve/Enhance HR standards and practices across Civil Service; and
- iv. Ensure optimal use of Human Resource.

HR Audit Strategy

- i. Carry out periodic HR Audit across all Civil Service Agencies as per the HR Audit manual.
- ii. Capacity building of HR personnel to minimize HR Audit issues and ensure professionalism in the conduct of HR Audit.
- iii. Creating awareness in the working agencies on significant and recurring HR Audit issues.

Types of HR Auditing

i. Compliance HR Audit

Compliance HR Audit ensures uniform application of Rules and Regulations as per BCSR and Civil Service Act of Bhutan for the decentralized HR actions.

The first HR Auditing in all the Agencies shall be carried out for all HR actions taken from May 2011 onwards, since the Civil Service Act of Bhutan 2010 was enacted.

ii. Strategic HR Audit

Strategic HR Audit assesses the current HR practices and determines the strength and weakness of the HR Division/Services. Accordingly, recommendations are co-created based on the best standards and practices.

The above HR auditing shall be carried out as per the five year work plan approved by the 102nd Commission meeting held on July 11, 2017.

Role of HR Audit Team and Agency HRD

Sl. No.	ROLE OF HR AUDIT TEAM	ROLE OF AGENCY HRD
1	Conduct HR Audit without fear, favor or prejudice	Provide free access to all information and records of agencies that relate to HR management and to inspect and inquire into and call for any information arising from those accounts and records.
2	Be professional and observe code of conduct and ethics	Be required to provide with such facilities, assistance, information and access to their respective offices as the Commission may require for the performance of its duties.
3	Inspect and inquire into and call for any information arising from those accounts and records.	Keep all the necessary documents ready for auditing.
4	Present HR Audit findings to Agency	Provide full cooperation and support to the auditing team while conducting HR audit.
5	Prepare HR Audit report with recommendations for submission to the Commission.	Provide feedback to the management and the RCSC on the conduct of HR Audit.
6	Follow-up HR Audit reports to ensure that audit recommendations are complied with and implemented.	Comply with HR audit findings and implement its recommendations.

COMPLIANCE HR AUDIT

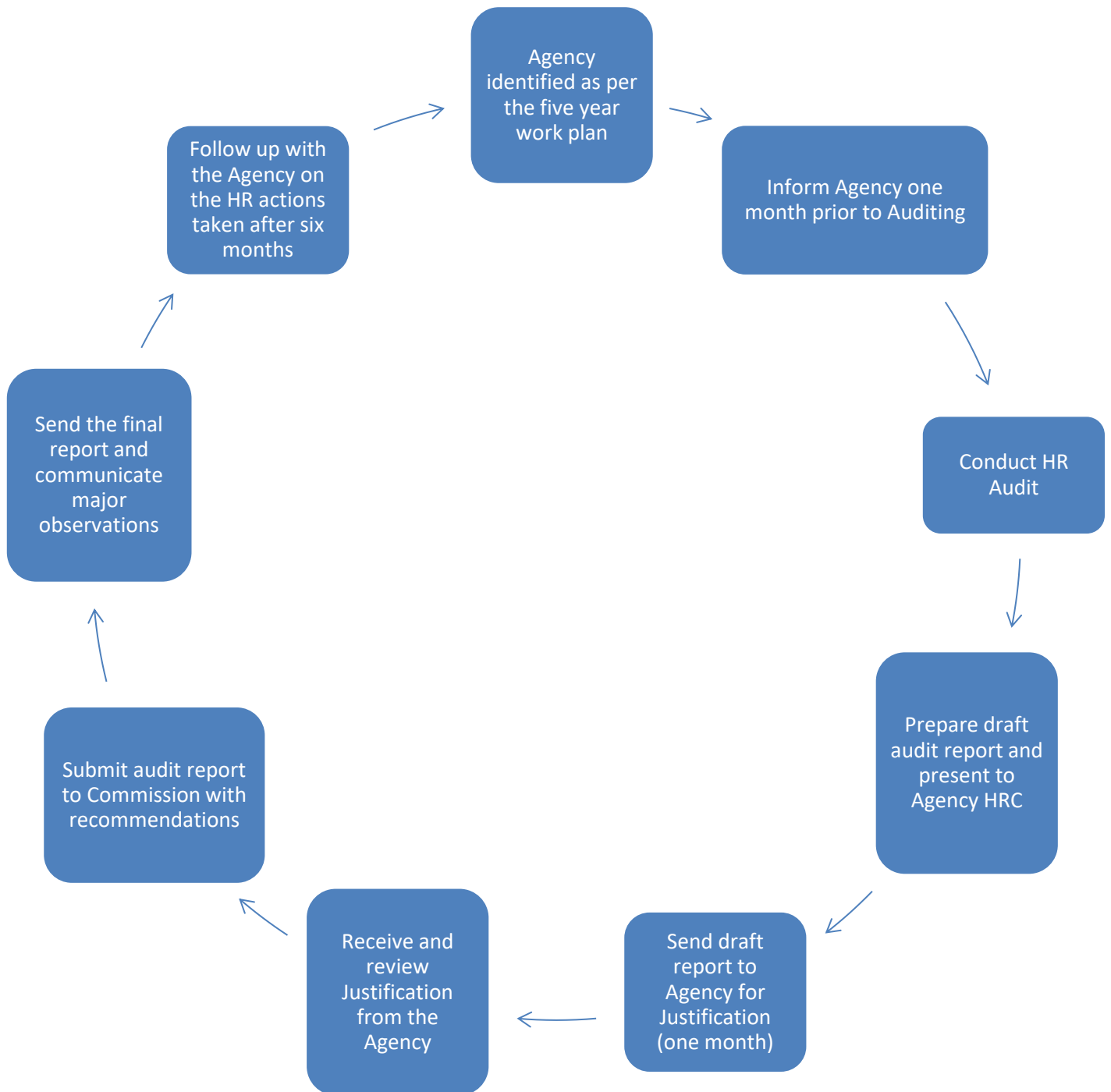
Introduction

The Compliance HR Audit is conducted as required by Section 27(g) of the Civil Service Act of Bhutan 2010 which states that “The Royal Civil Service Commission as the central personnel agency of the Government shall conduct periodic HR auditing across all agencies”. The main objective is to ensure compliance and uniform application of provisions of the CSAB 2010 and BCSR across the Civil Service; and to ensure effective and efficient utilization of civil servants.

The Auditing exercise identifies gaps, limitations and appropriate interventions are recommended. Good practices of the Agency if any are also highlighted. The first HR auditing started in 2013 covering all areas of decentralized HR actions across the Civil Service. However, in future if the Agency is being audited for the second time, the area will be determined by the HR Audit. Further, where there is a proper system in place and HR action are captured in Civil Service Information System the frequency of HR auditing will be lesser.

HR auditing shall be carried out after a minimum of two years in the Ministries; three years in the Dzongkhags; and five years in Autonomous agencies.

Broad process for Compliance HR Audit



Areas of Compliance HR Audit for Decentralized HR actions from May 2011 onwards

1. Over all Staffing plans (Approved, Existing and Gap)
2. Regular Recruitment, Selection and Appointment (S1 and Below)
3. Contract Recruitment
4. Recruitment of General and Elementary Service Personal
5. Decentralized promotion
6. Open Competition
7. Short term training (STT)
8. Extraordinary Leave
9. Intra- Agency Transfer (Relieving date and Transfer Criteria)
10. Separation
11. Human Resource Utilization
12. Disciplinary action
13. Minutes of the Human Resource Committee Meeting

List of Activities for Compliance Auditing

Sl. No.	List of Activities for Compliance Auditing
1	List of short term trainings from the Agency (Circulate the template as per the Annexure 6 prior to one month)
2	List of ESP and GSP recruited (Circulate the template as per the Annexure 3 prior to one month)
3	List of Drivers with Vehicle Registration number (Circulate the template as per the Annexure 9 prior to one month)
4	Over all Staffing summary (Circulate the template as per the Annexure 8 prior to one month)
5	List of existing staff of the Agency from Civil Service Information System
6	Regular Recruitment, Selection and Appointment process (S1 and below)
7	Contract Recruitment
8	Decentralized Promotion
9	Promotion through Open Competition
10	Extraordinary Leave
11	Separation (Circulate the template as per the Annexure 10 prior to one month)
12	Human Resource Utilization
13	Disciplinary action
14	Minutes of the Human Resource Committee Meeting
15	Draft HR Audit Report and present to Agency HRC and Commission (Annexure 14)
16	Finalize HR Audit Report (Annexure 15)
17	Moderation minutes and scores

List of pre-requisite documents

Master List of reports from RCSC

- 1 List of Civil Servants promoted and open competition
- 2 List of Civil Servants undergoing long term training
- 3 List of Civil Servants recruited on regular and contract
- 4 List of Civil Servants who availed short term training
- 5 List of Civil Servants on Extraordinary Leave
- 6 List of Civil Servants who have resigned (Voluntary Resignation, Compulsory retirement, Early retirement scheme and Superannuation)
- 7 List of Civil servants separated but existing
- 8 List of Civil Servants imposed Administrative action
- 9 List of Civil Servants on secondment
- 10 List of existing civil servants in the Agency from CSIS
- 11 Position Directory (2009, Oct 2012, Dec 2012 & the latest PD)
- 12 BCSR 2010, BCSR 2012 and BCSR 2018
- 13 Approved 10th and 11th FYP staffing
- 14 Approved standard for GSP/ESP if any

Regular Recruitment, Selection and Appointment (S1 and below)

Decentralized Recruitment, Selection and Appointment process	
List of required documents for verification	
RCSC	From the Agencies
√ Master list from Civil Service Information System (CSIS) for decentralized recruitment, selection and appointment process (<i>Annexure 1</i>)	√ List of Civil Servants recruited
√ Position Directory	√ Vacancy announcement copy
	√ List of shortlisted candidates
	√ Individual viva sheet
	√ Consolidated mark sheet
	√ Appointment order
	√ Conflict of interest form
	√ Selected candidate's documents - CID, Security clearance, medical certificate and academic certificate

Process for Auditing	
1	Segregate the master list of Civil Servants recruited by year using pivot table
2	Cross check the recruitment list from CSIS with the list of recruitment carried out by Agency
3	Check if the post is approved in the five year Staffing plans (10 FYP staffing to be referred up to 16 June 2014 and 11 FYP staffing to be referred from 17 th June onwards). Further, also check RCSC approval for appointments from 17 th June 2014 till the freeze is lifted by RCSC
4	Check HRC's approval for announcement
5	Verify/check vacancy Announcement details as follows: √ No. of post announced and recruited √ Minimum qualifications as per Position Directory
6	From the list of shortlisted candidates, check if they meet qualifications as per the Position Directory (PD). Recruitment from 2011 to October 2012, use 2009 and Oct 2012 PD; Recruitment from December 2012 to Feb 2016, use Dec 2012 PD and; Recruitment from March 2016 onwards use the latest PD 2016.

7	Verify/check if the panel members have declared Conflict of Interest.
8	Double check if the panel members comprises of at least five relevant members.
9	Check/verify whether the Agency has carried out the Recruitment as per the following Methodology; √50% from Academic/written/practical and 50% from viva. OR; √25% from Written/practical examination; 25% Academic/relevant training; and 50% from viva.
10	Check Interview forms of each panel member if the marking is done within the maximum. Re-tabulate the result, if the marking is given beyond the maximum marks allocated for each field in viva. Take the average of the marks allocated by other panel members.
11	Check if, 2 extreme marks during viva are taken out for the recruitment carried out from 22/8/2014 onwards.
12	Cross check the viva marking from individual sheet to consolidated interview result
13	Check/verify academic transcript, security clearance, medical certificate and CID copy of the selected candidate.
14	Duration of gap between the date of announcement and date of appointment.
15	Check the following in the Appointment order: √ Effective date of appointment should be 1st or 15th for the recruitment carried out from December 17, 2012 onwards. √ For recruitments that was carried out from 2017 onwards the date of appointment should be 1 st January of every year (single window concept) √ Crosscheck/verify the date in the CSIS and Appointment order. If there is an issue, make a copy of the Appointment order for reference.

****Highlight in sky blue for the verified recruitment in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Contract Recruitment

List of required documents for verification	
RCSC	From the Agencies
√ Master list from CSIS for contract recruitment process <i>(Annexure 2)</i>	√ List of Civil Servants recruited on contract
√ Position Directory	√ Copy of vacancy announcement
	√ RCSC prior approval if applicable
	√ List of shortlisted candidates
	√ Consolidated mark sheet
	√ Appointment order
	√ Signed Contract Agreement
	√ Conflict of interest forms declared by the panel members
	√ Individual viva sheet
	√ Selected candidate documents - CID, Security clearance, medical certificate and academic certificate

Process for Auditing	
1	Segregate the master list from CSIS recruited on contract by year using pivot table.
2	Cross check the master list from CSIS with the list of recruitment carried out by Agency
3	Verify/ check prior approval of RCSC for the vacancy announced
4	Verify/check vacancy Announcement details as follows: √ Number of post announced and recruited √ Minimum qualification as per Position Directory √ Check the type of Contract announced

5	From the list of shortlisted candidates, check if they meet qualifications as per the Position Directory (PD). Recruitment from 2011 to October 2012, Use 2009 and Oct 2012 PD; Recruitment from December 2012 to Feb 201, use Dec 2012 PD and ;Recruitment from March 2016 onwards, use the latest system generated PD
6	Verify/check if the Panel Members have declared Conflict of Interest.
7	Double check if the panel members comprises of at least five relevant members.
8	Check Interview forms of each panel member if the marking is done within the maximum. Re-tabulate the result, if the marking is given beyond the maximum marks allocated for each field in viva. Take the average of the marks allocated by other panel members.
9	Check if, 2 extreme marks during viva are taken out for the recruitment carried out from 22/8/2014 onwards.
10	Check/verify academic transcript, medical certificate, security clearance and CID copy of the selected candidates.
11	Crosscheck/verify the date in the CSIS and Appointment order. If there is an issue, make a copy of the Appointment order for reference.
12	<i>Check/verify the duration of gap between the date of announcement and date of appointment.</i>
13	Check if the relevant Contract agreement is signed

**** Highlight in sky blue for the verified recruitment in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Recruitment and appointment of General and Elementary Service

List of required documents for verification

RCSC	From the Agencies
√ GSP/ESP approved standard if any	√ List of all existing GSP/ESP (Annexure 3)
	√ Copy of Vacancy announcement
	√ RCSC prior approval provided there is no standard.
	√ List of shortlisted candidates
	√ Consolidated mark sheet
	√ Appointment order
	√ Conflict of interest forms declared by the panel members
	√ Individual viva sheet
	√ Signed contract agreement
	√ Selected candidate documents - CID, Security clearance and Medical Certificate. Check Academic certificate if required.

Process for Audit

1	Check/verify the following: √ Date Of Appointment; √ Date of Birth (whether the existing ESP/GSP is within the superannuation age of 56)
2	Check the following: √ Appointment as per the 10th FY Staffing Plan for recruitments carried out before June 2014 and; √ RCSC approval for recruitment from June 2014 or approved standard for ESP/GSP
3	Verify/check vacancy Announcement details as follows: √ Number of post announced and recruited √ Minimum qualification of class eight for messenger and ward boy; √ Check/verify the duration of gap between the date of announcement and date of appointment.
4	Verify/check if the panel members have declared Conflict of Interest.
5	Check the following documents of the selected candidates- √ Academic Transcript(only for Messenger/Ward boy) ; √ Security Clearance ; √ CID copy ; √ Medical certificate √ Signed contract agreement
6	Verify the date of birth of all the GSP/ESP staff recruited prior to May 2011. Check if they have reached superannuation age using formula.

****Highlight in sky blue for the verified recruitment in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Annexure 3

List of ESP and GSP

Sl. No	Name	CID Number	Position Title	Type of level(GSP I/GSP II/ESP	Date of Appointment	Date of Birth	Department/Division/Sector	Remarks

Decentralized Promotion

Broad banded promotion

List of required documents for verification

RCSC	From the Agencies
√ Master list from CSIS for decentralized Promotion (Annexure 4)	√ Promotion summary sheet
√ Position Directory (2009, 2012 and 2016)	√ PE rating form for 3 yrs
	√ Valid Security clearance and Audit Clearance
	√ Promotion Form
	√ HRC Approval
	√ Promotion Order
	√ Additional documents required for P1 specialist promotion
	√ Specific Job Description
	√ Post adjustment form
	√ Legal Undertaking

Process for Auditing

1	Segregate the master list from CSIS promoted by year using pivot table.
2	Cross check the master list from CSIS with the promotion summary sheet.
3	Count the total number of promotion summary sheets
4	Cross check the following document: √ Promotion order, Promotion Form, PE form, Security Clearance, Audit Clearance and HRC approval and; √ For P1 level Specialist additional required are specific job description, post adjustment form, legal undertaking
5	Check whether the performance rating from PE form is correctly entered in promotion summary sheet
6	Cross check the following performance criteria: √ Up to Financial year 2014-2015 PE rating should be consistently <i>outstanding</i> for last three years for those who do not meet the qualification criteria (Refer PD for qualification requirement of the position)

	<p>√ Up to academic year 2015 PE rating should be consistently <i>outstanding</i> for last three years for those who do not meet the qualification criteria (Refer PD for qualification requirement of the position)</p> <p>√ Up to financial year 2014-2015 PE rating should be consistently <i>very good</i> for last three years for those who meet qualification criteria (Refer PD for qualification requirement of the position)</p> <p>√ Up to academic year 2015 PE rating should be consistently <i>very good</i> for last three years for those who meet qualification criteria (Refer PD for qualification requirement of the position)</p> <p>√ For financial year 2015-2016 onwards, the PE rating should be consistently good and above.</p> <p>√ For Academic year 2016 onwards, the PE rating should be consistently good and above.</p>
7	<p>Cross check the following information with CV from CSIS:</p> <p>√ Study duration more than 18 months and EOL period to be deducted from the active service of the promotion</p> <p>√ Not eligible for promotion during study period and while on EOL. Further, cross check with the EOL list.</p> <p>√ Duration: PMC: 4 years; SSC Level: 4 years (S5 to S4 and above) and 5 years (S1 to SS4 and above) with effect from 1st July 2016.</p> <p>√ Prior to 1st July 2016, the duration is 4 years.</p>
8	<p>For promotions prior to 1/7/2016, check the remarks column of the Position directory for career movement;</p> <p>√ Civil Servants entering at S4 and S5 can go only up to S1;</p> <p>√ Civil Servants entering at S3 can go up to P5;</p> <p>√ Civil Servants entering at S2 and S1 can go up to P3. Diploma holders who have entered at S2 and S1 can only move up to P4 to P3 for prior.</p>
9	For promotions of doctor refer doctor career path reform
10	<p>Cross check the following in the promotion order with CSIS:</p> <p>√ Effective date;</p> <p>√ Position title and;</p> <p>√ Position level</p>
11	Check if the civil servant has followed the correct cycle for PE rating.
12	<p>If the promotion does not meet the criteria and need to be revoked, the following process needs to be followed:</p> <p>√ Check and note when he/she will meet the promotion criteria and when the promotion could be regularized.</p> <p>√ If the promotion is revoked due to performance criteria, ask the Agency HRD to submit PE rating form from the year he/she meets the performance criteria, Valid ACC and SCC. Accordingly recommend the regularization of promotion.</p> <p>√ If the promotion is revoked due to duration criteria, ask the Agency HRD to submit PE rating form from the year he/she meets the duration criteria, Valid ACC and SCC. Accordingly recommend the regularization of promotion.</p>

****Highlight in sky blue for the verified promotion in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents***

Promotion through Open Competition

List of required documents for verification	
RCSC	From the Agencies
√ Master list from CSIS for promotion through open competition (<i>Annexure 4</i>)	√ List of civil servant promoted through Open Competition
√ Position Directory	√ Approval from RCSC
√ Approved Staffing Pattern	√ Copy of vacancy announcement
	√ List of short listed candidates
	√ Conflict of Interest form
	√ Interview form of each panel member
	√ Consolidated summary result sheet
	√ PE form for last 2 years
	√ Valid Security Clearance and Audit Clearance
	√ HRC Approval
	√ Promotion Order/Office order
Process for Auditing	
1	Segregate the master list from CSIS promoted through open competition by year using pivot table.
2	Cross check the master list from CSIS with the list of promotion approved through open competition carried out by Agency
3	HRC's endorsement for seeking approval for vacancy announcement
4	RCSC's approval letter for announcement if applicable.
5	Check the following details in the vacancy announcement: √ The announced post should be as per the staffing pattern. √ Minimum qualification for the post announced should be per Position Directory
6	Check renouncement copy, if there is only one applicant for the post.
7	Check the following for the shortlisted candidates: √ Qualification as per PD and superstructure as per schedule √ Position level- One position lower or in the same position level √ Minimum of 2 years active service in the current position level at the time of announced application deadline. √ Completed a minimum duration equal to the secondment period in the current agency as per Annexure 5 √ Up to financial year 2014-2015, minimum PE rating of ' <i>very good</i> ' for the last two years is required for shortlisting. √ For financial year 2015-2016 onwards minimum PE rating of ' <i>good</i> ' for the last two years is required for shortlisting.

	<p>√ Up to academic year 2015, minimum PE rating of 'very good' for last three years is required for shortlisting.</p> <p>√ For Academic year 2016 onwards, minimum PE rating of 'good' for the last two years is required for shortlisting.</p> <p>√ Has completed equal the duration of the study period in the same position as per Superstructure w.e.f August 2016.</p> <p>√ Has completed equal the duration of the study period to apply for the position outside the Agency prior to August 2016.</p>
8	<p>Ineligible candidates:</p> <p>√ Candidates at Entry position level without availing a single promotion(from December 17, 2012)</p> <p>√ While undergoing long term training or on secondment.</p>
9	Declaration of Conflict of Interest by interview panel
10	Number of Panel members and representative from RCSC for P1 appointment
11	Selection criteria as per the relevant BCSR
12	Check Interview forms of each panel member if the marking is done within the maximum marks, 2 extreme marks to be taken out from 22/8/2014 onwards.
13	Check Interview forms of each panel member if the marking is done within the maximum. Re-tabulate the result, if the marking is given beyond the maximum marks allocated for each field in viva. Take the average of the marks allocated by other panel members.
14	Cross check the viva marking from individual sheet with the consolidated result
15	Check the documents of the selected candidates -NOC and Security Clearance and Audit Clearance
16	√ Check duration of gap between the date of announcement and date of office order issued.
17	<p>Cross check the following in the promotion order with CSIS:</p> <p>√ Promotion effective date should be 1st or 15th from December 17, 2012 onwards.</p> <p>√ Position title and;</p> <p>√ Position level</p>

****Highlight in sky blue for the verified open competition in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Annexure 4

List of Civil Servants promoted from May 2011

SI No.	Name	EID No.	Before Promotion		On promotion		Last date of promotion	Type of Promotion	Office Order No.	Working Agency/Division/Section	Parent Agency	Location	Remarks
			PT	PL	PT	PL							

Annexure 5

Secondment Record

Sl.No.	Name	EID	Position title	Department/Division/Section	Secondment details		Duration	HRC No.	HRC date	Remarks
					Start date	End date				

Short Term Training

List of required documents for verification

RCSC	From the Agencies
√ Master list from CSIS for Short Term (<i>Annexure 6</i>)	√ Short term training record (Formal & Informal (<i>Annexure 6</i>))
	√ In-service training nomination form
	√ Security Clearance, Audit Clearance and medical certificate for ex-country only
	√ HRC Approval number and date
	√ Pre departure briefing document for ex-country only
	√ Office Order/Letter of Award
	√ Joining order
	√ Feedback form
	√ Training report

Process for Auditing

1	Cross check the master list from CSIS with the list of short term training approved by Agency
2	Cross check the HRC's endorsement for short term training approved (both formal and informal training)
3	Check relevance of the training
4	<p>Cross check eligibility of the selected/nominated candidates as follows:</p> <ul style="list-style-type: none"> √ Completed probation period, except in-country orientation/induction/professional training programs √ Maintained training gap of 6 months between two ex- country training prior to December 17, 2012 (as per BCSR 2010) and gap of 6 month for both in-country and ex- country training from December 17, 2012 (BCSR 2012). √ Have minimum of 6 months to superannuate √ Served minimum of 6 months after EOL √ Served minimum of 1 year after long term training √ Check the documents of the selected candidates for STT- In-service training nomination form , Security Clearance, Audit clearance, Medical certificate if required by institute and pre-departure briefing √ Contract staff can avail only in country training
5	Check joining report and training report
6	Compile list of meeting attended and make a travel frequency report
7	Check if a civil servant has accumulated earned leave of 2.5 days per month to their leave account if he/she has availed training more than one month, it is not permissible by BCSR.
8	Validate STT list with LTT (BCSR 2010 and BCSR 2012)
9	Verify EOL list with STT (BCSR 2010 and BCSR 2012)

****Highlight in sky blue for the verified short term training in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Extra Ordinary Leave (EOL)

List of required documents for verification	
RCSC	From the Agencies
√ Master list from CSIS for EOL (Annexure 7)	√ List of civil servants on EOL
	√ Legal Undertaking
	√ EOL Order
	√ Joining Order
Process for auditing	
1	Cross check the master list from CSIS with list of civil servants on EOL from Agency
2	Check whether if approved by HRC
3	Cross Check with the following eligibility criteria: √ Maximum duration for EOL is 24 months for the entire service period √ Completed 5yrs including probation period for EOL more than 3 months. √ Civil Servant has completed secondment/long term training obligation prior to availing EOL.
4	Cross Check the following documents: √ Legal undertaking √ EOL Order and; √ Joining order
5	Check if EOL is updated in CSIS and verify the effective date with Office order.
6	Compulsory retirement for those Civil Servants who fail to join back after the completion of EOL period.
7	Cross check with PEMS, if Civil Servants who have availed EOL has been paid salary while on leave.

****Highlight in sky blue for the verified EOL in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Over all Staffing plans

List of required documents for verification	
RCSC	From the Agencies
√ Approved Staffing (10th and 11th FYP)	√ List of existing staff
√ List of existing staff from CSIS as per the Annexure 9	√ List of drivers and vehicle registration number

Process for auditing	
1	Cross check the approved staffing with the existing staff from CSIS and Agency existing as per the format (Annexure 8)
2	Enter the approved and the existing staff from CSIS as per format
3	Cross check the gap between the existing staff from CSIS and existing staff from the Agency and find out why there is difference.
4	Cross check existing number of drivers with the number of vehicles (Annexure 9)

Annexure 8

Staffing Summary

<i>Department/ Division/Sector</i>	Approved Post as per 11th FYP staffing					Existing as per CSIS					Existing as per the Agency					GAP					
	<i>EX</i>	<i>P</i>	<i>S</i>	<i>O(exld. driver)</i>	<i>Total</i>	<i>EX</i>	<i>P</i>	<i>S</i>	<i>O</i>	<i>Total</i>	<i>EX</i>	<i>P</i>	<i>S</i>	<i>O</i>	<i>Total</i>	<i>EX</i>	<i>P</i>	<i>S</i>	<i>O</i>	<i>Total</i>	
Total																					

Annexure 9

List of Drivers

SI No.	Name	EID	PL	Dept/Division /Sector	Location	Contract or Regular	Veh Registration Number	Off road or not	Remarks

Separation

List of required documents for verification	
RCSC	From the Agencies
✓ Master list from CSIS for ✓ Voluntary Resignation, ✓ ERS; ✓ Superannuation (Annexure 10)	List of civil servants separated
	✓ Separation order
	✓ Sanction order
	✓ Relieving order

Process for auditing	
1	Cross check the master list from CSIS with the list of separation carried out by Agency
2	Check if the civil servant has complied with the conditions of service laid down in the training, secondment and other rules.
3	If the civil servants have availed Early Retirement Scheme, check/verify if they have complied with the following conditions of service: a) Is 51 years and above. b) Is below 51 years of age fulfilling the following conditions: i. A civil servant has served for a minimum of 20 years; ii. A civil servant does not possess a minimum of Bachelor Degree; and iii. A civil servant has no obligations to the Government. c) Is on the 'Waiting List' for whom the RCSC has not been able to find appropriate position. d) Has served a minimum of eight years at the highest Position Level within the broad-band as specified in the Position Directory. And further Check if the civil servant has: a) Impending disciplinary or corruption case(s); and b) His service is determined to be required by the Government based on scarcity of such skills and expertise.
4	Check/verify the relieving date of civil servants relieved from the Agencies and retirement benefits claim was sanctioned within one month from relieving order
5	Cross check to see if all the separations are updated in the CSIS. For those separations which are not updated in the CSIS, ask for separation order from Agency HRD and accordingly update in the CSIS.

****Highlight in sky blue for the verified separation in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Annexure 10

List of civil servant separated

Sl. Nos	Name	EID Number	Position Title	PL	Working Agency	P Agency	Dt. of Appt	DOB	Sept_dt	Sept_type	Year	EmpType	Sanction order date

Human Resource Utilization

List of required documents for verification	
RCSC	From the Agencies
	√ IWP of few selected civil servants

Process for Auditing	
1	Assess the staff strength of HR Division/services based on the log book maintained and observation made during the auditing period and accordingly make recommendations.
2	Review the IWP of a civil servant based on the feedback from the agency and interview conducted as part of strategic audit, on the mismatch of Position title and Job Description.

Transfer

List of required documents for verification	
RCSC	From the Agencies
	√ Transfer file

Process for Auditing	
1	Check if there is a transfer guideline
2	Ensure that the Civil Servants' (CS) who are transferred are relieved /have joined on time

Disciplinary action

List of required documents for verification	
RCSC	From the Agencies
√ List of civil servant serving disciplinary action from CSIS	√ List of civil servant serving disciplinary action
	√ Administrative disciplinary file

Process for auditing	
1	Ensure if disciplinary action imposed has been implemented
2	Check the uniformity of the administrative actions imposed on civil servant. If there are any discrepancies in the penalties imposed for similar offence, list down the details as per Annexure 11 .

****Highlight in sky blue for the verified disciplinary action in the master list and red for issues. Auditors to note in the remarks column if there are any lapses in the above process and incomplete documents.***

Annexure 11

Administrative actions taken

Name	EID	PT	PL	Type of Offence	Type of Administration action taken	HRC Number and date	Names of HRC Members

Minutes of the Human Resource Committee Meeting

List of required documents for verification	
RCSC	From the Agencies
	Minutes of the HR Committee Meeting from May 2011
	Conflict of Interest declaration form

Process for Auditing	
1	Review the HRC Minutes, if there are any decisions not as per the BCSR; note the issues as per Annexure 12 .
2	Review the HRC Agenda and see if the proper assessment has been carried out and relevant BCSR has been quoted.
3	Ensure if the HRC Members have declared Conflict of Interest.
4	Check the presence of permanent HRC members

Annexure 12

Issues on HRC decision

SI No.	HRC Number and date	Names of HRC Members	Issues

(Annexure 13)

SUMMARY OF COMPLIANCE HR AUDIT			
SI No	HR Actions	Nos. of HR Actions Audited	Remarks
1	S1 and below recruitment incld, Contract Apptt.		
2	Promotion incld Open Competition		
3	Total Number trainings availed		
4	EOL		
5	HRC Minutes		
6	GSP/ESP		
7	GSP/ESP (training)		

Draft HR Audit Report writing

HR Audit Observations: (Annexure 13)

(Date from.... to.....)

Introduction

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

The Auditing exercise identifies gaps, limitations and appropriate interventions are also recommended. but good practices of the Agency if any are highlighted Compliance auditing for a period ofyears was carried out from May 2011, the period CSAB 2010 was enacted to day/month/year.

Areas of Auditing

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

Methodology

Following methods were used to do the compliance audit in Punakha Dzongkhag:

1. Evidence based approach
2. All HR action taken as per BCSR 2010 & 2012
3. Civil Service Act of Bhutan 2010
4. RCSC approval
5. Approved staffing

Some good practices observed during HR auditing- 1.
2.

Obs. Number	Audit Observations/Findings	Type of Obs.
	1. Recruitment & Selection S1 and Below and Contract Appointment (Nos. Civil servants recruited)	
1.1	Staffing	
1.2	HRD Staff Utilization	
	2. Promotion & Open Competition (Number Of Civil servants promoted)	
2.1		
	3. Short Term Training (Number Of Civil servants send on informal and formal training)	
3.1		

Annexure 14

HR Audit Observations: **(Date from.... to.....)**

Introduction

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5. Approved staffing

Some good practices observed during HR auditing- 1.
 2.
 3.

Obs. Number	Audit Observations/Findings	Type of Obs.	Ministry/Agency's justification Commission Decisions (held on)
1. Recruitment & Selection S1 and Below and Contract Appointment (Number of Civil Servants recruited)				
1.1	Staffing			
1.2	HRD Staff Utilization			
2. Promotion & Open Competition (Number of Civil Servants promoted)				
2.1				
3. Short Term Training (Number of Civil Servants sent on informal and formal training)				
3.1				

STRATEGIC HR AUDTING

Introduction

Strategic HR Audit aims to strengthen HR Division/Services by being proactive and examining cross cutting HR issues. HR interventions beyond HRO's job description are also made to enhance HR service delivery and ensure civil servants feel valued. In the process, capacity of HR Officers' are also built through in-house training and by involving them in carrying out strategic HR Auditing.

The methodology currently used is "*Design Thinking*" whereby, following activities are carried out to get an insight of the user need and to understand the strength and weakness of the current HR systems and process.

1. Interviews
2. HR Audit Survey
3. Co-creation of recommendation
4. Recommendations and feedbacks.

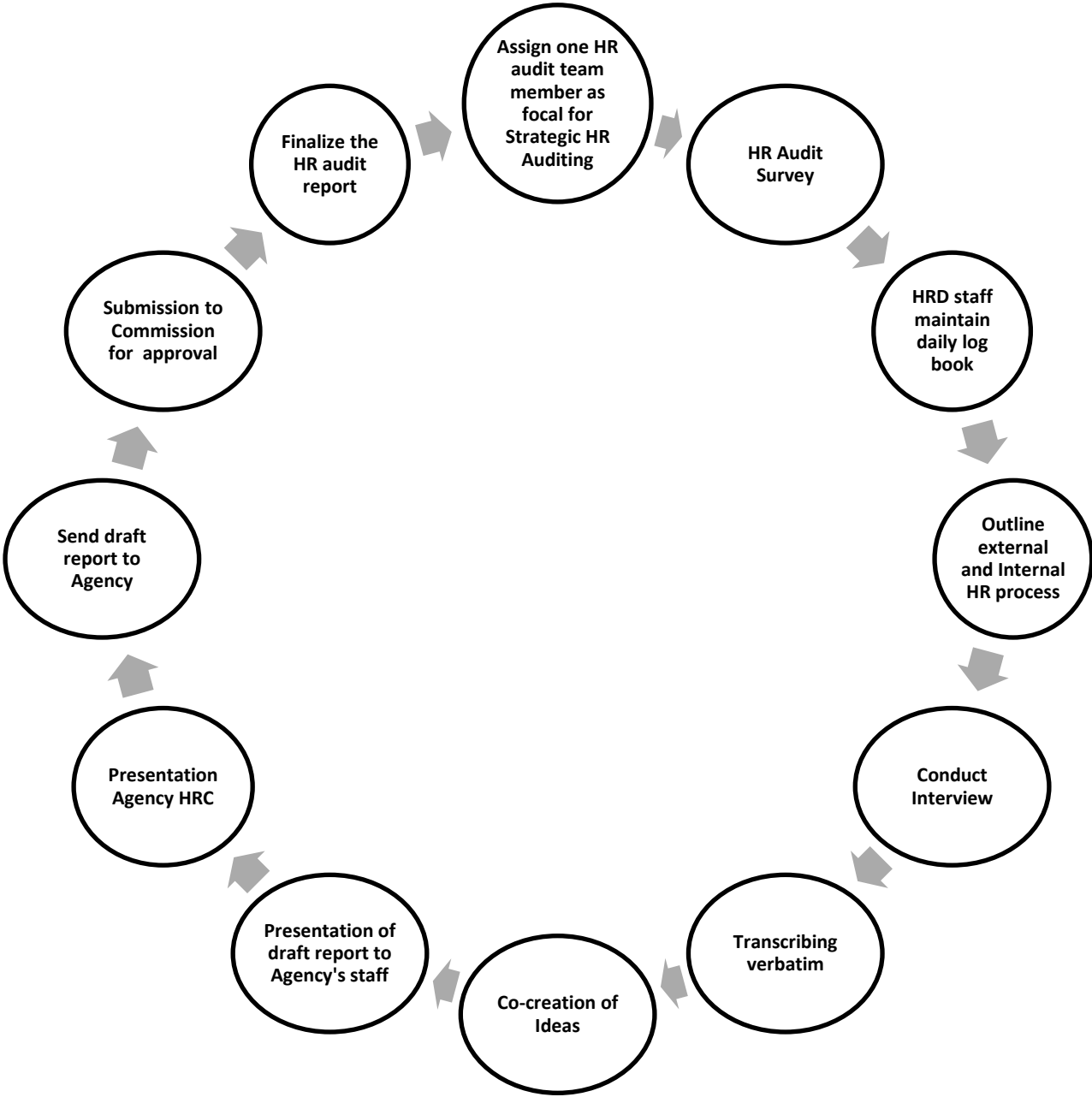
In the process the capacity of HROs' are also built since the concerned HR Officers of the Agencies' are fully involved in the strategic HR Auditing, from the conduct of interviews to co-creation and presenting the recommendation to the Agency.

The recommendations made are quick wins which are very much implementable within the HR Division and at Agency level.

List of activities for Strategic HR Auditing

SI No.	List of Activities for strategic Auditing
1	Data base of staff for HR Audit Survey
2	Log book analysis and HR requirement of HR Division/Section (to be circulated prior to 1 month)
3	List of focal person by names for Programs and Projects (If required)
4	List of interviewee (Staff, HROs of the Agency and HRC members)
5	Presentation on interview to the interviewers
6	Conduct Interview
7	Outline the HR Internal Process by HROs
8	Outline External process by the Audit team in consultation with the HROs
9	Training of HROs and Admin. Asst. on Pivot table
10	HR Google calendar by HROs
11	HRO to present on the reform and HR internal process to Admin. Asst. and Audit Team
12	Transcribing verbatim
13	Co-creation
14	Office Order standardization if required
15	Assessment on the staff requirement based on the log book
16	Prepare draft report presentation on issues and recommendations. Agency HROs make the presentation to the Agency staff (interviewee to be included)
17	HR Audit team to present the draft report to the Agency HRC and Commission.
18	Finalize the HR Audit report.

Process for Strategic Auditing



HR Audit Survey

Strategic Auditing: HR Audit Survey

HR Audit survey is carried out to check on the status of the five key roles of the HR Officers. It also gives an insight to issues the Civil Servants have encountered during their service.

List of required documents for verification

RCSC	From the Agencies
√ HR Audit survey questionnaire (<i>Annexure 1</i>)	√ List of Civil Servants √ List of Civil Servants as per the sample size with email (<i>Annexure 2</i>)

Process

1	Statistical Officer to insert the HR Audit questionnaire using the Google form
2	Based on the list of civil servants from the Agency, Statistical Officer to generate the sample size for HR Audit Survey
3	The sample size to be shared with the Agency HROs to insert their emails as per Annexure 2.
4	The HR Audit team leader to send the request for HR Audit Survey. The timeline for the survey is for a period of one month.
5	The analysis of the survey shall be carried out by the Statistical Officer based on the five key roles of HRO. The feedback from the open-ended questions should be used along with HR findings from the interview.

ANNEXURES 1

HR Audit Survey (Approved by 84th CM held on 22/11/2016)						
The purpose of HR Audit survey is to understand the strength and weakness of the current HR systems and process. The findings shall be used for streamlining the functioning of the HR Service of the Agency concerned. In this regard, we would like to request you to provide open & honest opinions. The information provided shall be used solely for the HR audit purpose and will remain confidential.						
Details of the survey respondent:						
Position Level:			Gender:			
Sector:			Age:			
Sl. Number	HR Audit Questions	Strongly Disagree (1)	Disagree (2)	Neither Agree Nor Disagree (3)	Agree (4)	Strongly Agree (5)
I. HRO as Strategic Partner						
1	My HRO understands the Agency mandate.					
2	My HRO participates in the preparation of the agency's plans and programs by providing input on HR perspectives.					
3	HR Services carries out annual workforce planning as per the agency's plans and targets					

4	HR Service designs HR development plans including competency training that are critical to deliver organizational programs/projects/activities.					
5	The HRO are competent to advice and guide us on all HR related matters.					
6	There is proper succession planning carried out for Dzongkhag by HR Service					
7	There is support from the Management in the works carried out by the HR Service					
II. HRO as Administrative Expert						
8	My HRO is clear on the current recruitment process					
9	My HRO is clear on the current promotion process					
10	My HRO is clear on the current transfer process					
11	My HRO is clear on the current training process					
12	HR Service provides an induction program for new appointees.					
13	My Management provides proper office space for new appointees.					
14	My Management provides equipments for new appointees.					

15	HR service provides proper procedure for handing & taking over of work on transfer/Resignation/Superannuation/Secondment.					
16	There are proper criteria in place for nomination for training.					
17	My training nomination comes through HR Service					
18	The information and documentation maintained by HR Service are accurate and up to date.					
19	There is proper coordination between HR service and Finance Service (E.g Pay- fixation, increment and Earned leave)					
III. HRO as Employee Champion						
20	The HR Officer in my Agency is proactive to inform the staff about the promotions/ transfers.					
21	All the training requirements are arranged by HR Service.					
22	HRO represent staff's grievances and concerns to the management/HRC.					
23	My HRO understands my Terms of Reference					
24	I am satisfied with the services provided by HR Service.					
IV. HRO as Change Agent						

25	The HR Service has prepared the organization in accepting all changes pertaining to OD exercise.					
26	All the information on HR/Civil service reforms are shared by the HR Service frequently.					
27	The staff concerned is engaged in the implementation of change management process.					
28	There is feedback system instituted in my organization.					
29	The HR Service redeploys the excess staff as per the timeline					
V. HRO as Integrity Advocate						
30	HRO follow the HR Standard Operation Procedures (SOP) 2016 for all HR functions.					
31	HRO promote values of ethics and integrity through education programs such as induction Program of employees, training on ethics and integrity and Monitoring.					
32	My HRO ensures that the staff abides by the civil service code of conduct.					
33	Conflict of Interest is declared where necessary as required by BCSR					
VI. Employee engagement						
34	I am aware of the expectations from me at work					

35	I have colleague(s) in the workplace whom I can share both my professional and personal matter.					
36	My Agency provides the opportunity to do my best at work.					
37	I have been recognized for the good work done.					
38	I have support from my supervisor who encourages my professional development and progress.					
VII. Max System						
39	I am aware of the APA of my Agency					
40	My supervisor sets target in IWP in consultation with me					
41	I was oriented/trained on the MaX system					
42	My supervisor provides continuous feedback on my performance					
43	The Agency has Personal Improvement Plan (PIP) in place for <i>Improvement Needed</i>					

What are the HR systems and process that are working well and why?

What are the HR systems and process that are not working and why?

Any recommendation for improvement

Annexure 2

Sample size for HR Audit Survey						
SI No	Name	EID	Position Title	Position level	Department/Division/Sector	Email
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

Log book

Strategic Auditing: Logbook format	
Maintain logbook activity by HR Division/Section staff for a period of one month to help the Audit team to understand the functioning of the Division/Section and determine additional human resource requirement.	
List of required documents for verification	
RCSC	From the Agencies
√ Logbook format (<i>Annexure 3</i>)	

Process	
1	HR Audit to share the logbook with HR staff on Google docs prior to one month of auditing
2	Logbook to be maintained for a period of one month from the day the logbook is shared.
3	HR Audit team to carry out the workload assessment of existing staff in HR Division/Section as per the logbook and observation made during the auditing period. Accordingly make recommendation.

Annexure 3

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

Assessment of HR functions and system

Strategic Auditing: Assessment of HR functions and system	
Interview is used as a tool to assess the strength and weakness of the HR Division/Services. Based on the HR issues from the interviews, recommendations are co-created accordingly.	
List of required documents	
RCSC	From the Agencies
√ List of interviewee (Annexure 4)	√ Agency HROs must be involved for the entire process of strategic Auditing interview
Process	
1	Prepare list of Civil Servants to be interviewed. A total of minimum 15 civil servants should be interviewed across position categories. <i>All HRC members and five each from PMC and SSC category must be included.</i>
2	Train the Agency's HROs on the conduct of interview using the power point. (Annexure 5)
3	Conduct interview as team of 2 each using the set of questions as per Annexure 6 . The notes have to be captured in verbatim in Annexure 7 .
4	Interview the staff and the HRC members by respective HROS and Auditors and HROs of the Agency to be interviewed by the Auditors.
5	A day to be allocated for transcribing of interview notes. Participants include Audit team, Agency HROs, Internal Auditor and relevant officials. Agency's HROs must be involved for the entire process of strategic Auditing.
6	Each note taker to share user interview stories. Other members to capture the HR findings/issues on sticky note.
7	Cluster issues by themes such as recruitment, training, communication, HR capacity etc.
8	Based on HR issues HR Audit team to find relevant case studies/articles based on best HR practices and distribute to HROs to provoke new ideas for co-creation.
9	One day session to be held for co-creation of ideas based on the issues identified.
10	Draft Strategic Audit Report as per Annexure 13
11	Prepare Draft HR Audit presentation as per Annexure 12 . Agency's HROs to make the presentation to staff of the Agency and incorporate the feedbacks if any.
12	Draft HR Audit report presentation to the HRC and Commission by the HR Audit team
13	Finalize the HR Audit report.

Annexure 4

List of Interviewee

Sl. No	Name	EID	Position Title	Position Level	Position Category	Place of Posting	Team	Telephone No	Appointment date	Appt. Time
1										
2										
3										
4										
5										
6										
7										

	No. of interviewee
HRC members	All
PMC	Min. 5
SSC	Min. 5



Royal Civil Service Commission

“Excellence in Service”

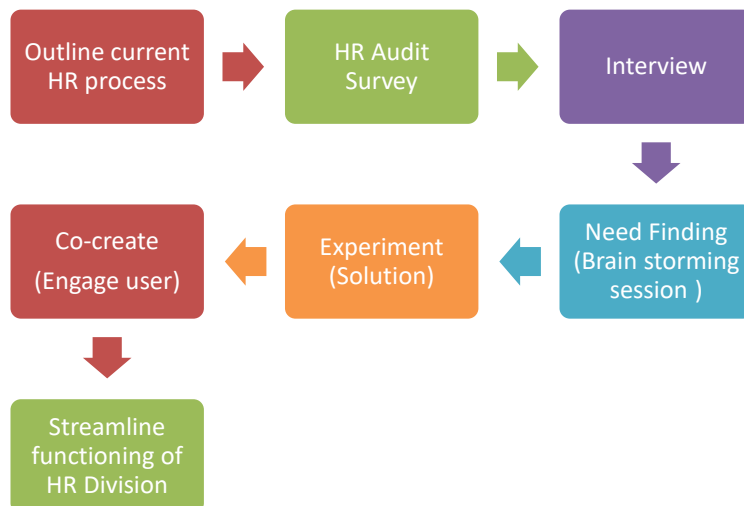
Strategic HR Auditing

“How Might We streamline the functioning of HR Division/Section”



Royal Civil Service Commission

Strategic HR Auditing



“Excellence in Service”



HR Audit Questionnaire

- 35 questions
- Based on the following:
 - Sample HR Audit survey questionnaire
 - BCSR 2012
 - 5 role of HRO
 - APT
 - IWP sample (MaX)

“Excellence in Service”



“Excellence in Service”

Interview Process

Empathy



Empathy?

- Appreciate others as Human Being
- Understand and relate with others feeling
- See their world through their eyes
- Communicate through Others

"Excellence in Service"



Interview set-up and Process

- Note taker
- Interviewer
- Interviewee (User)

"Excellence in Service"



Deep user interview

- Open ended questions
- Questions to probe
- Why?

"Excellence in Service"



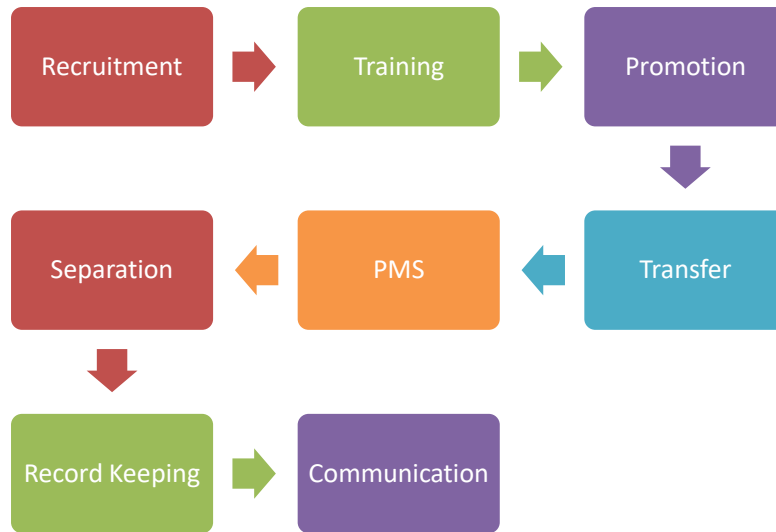
Interview Exercise tips

- Story telling
- Assign role- interviewer, Note taker and user
- Besides asking about where, when, who, how, what; probe why and how things makes them feel, what they wish could be different, what they enjoy, what frustrate them
- Ask why?
- Note taker to record in verbatim (that is word- for word)

"Excellence in Service"



Story telling board

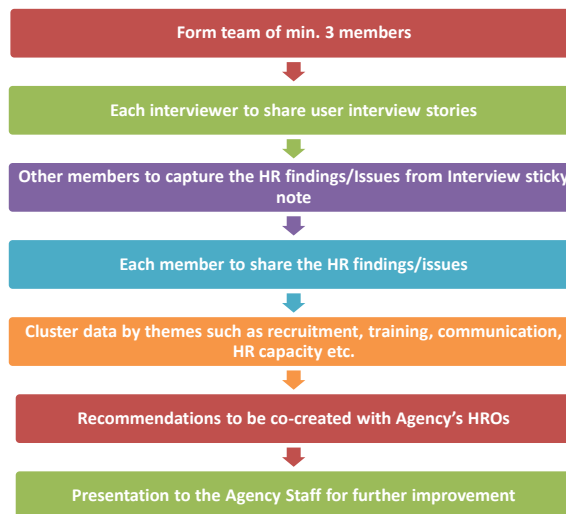


"Excellence in Service"



HR Finding/Issues

(Transforming interview to meaningful insight)



"Excellence in Service"



Interview exercise

- Conversation with your user about your training nomination

"Excellence in Service"



Role Play

Interviewer	Note taker	Interviewee

"Excellence in Service"



Interview Exercise (MOCK)

- Using Interview questionnaire

Annexure 6

Interview Questionnaires for Agency staff and HRC Members

- 1. Introduce yourself**
- 2. Objective of HR Auditing**
 - a. Compliance Auditing*
 - b. Interview part of strategic HR Auditing streamlining the functioning of HR Division/ service delivery*
 - c. Strength and weakness of current HR system and processes*
 - d. Need finding/pain point of the staff of the Agency*
- 3. How was your career like as civil servants**
- 4. What are some of the services availed from HR Division**
- 5. What do you think about the current Recruitment process**
 - a. Assessment of staff requirement carried out? Why*
 - b. What do you think about the decentralized recruitment process?*
 - c. Induction program for new appointments*
 - d. Office space and equipments provided by Departments*
 - e. What do you think about the participation of HROs in preparation of Agency plans & Program? Why?*
 - f. How is the succession planning like in your department? Why?*
- 6. How many training have you availed till date?**
 - a. Current system for training nomination*
 - b. Aware of training nomination criteria*
 - c. Distribution of training*
 - d. Training records kept by HRD*
 - e. What services need to be provided by HRD in terms of training? Should services such as Passport, visa, DSA be centralized by HRD?*
 - f. What are criteria on which focal person for projects/Programs are appointed? Do you think there is need of more than one focal person for each projects/programs.*
 - g. What do you think about the HR dev. Plan of your Agency? Is it is based on competency?*
- 7. How many times have you been promoted?**
 - a. Promotion on timely manner*
 - b. Process of meritorious promotion*
 - c. Communication from HR Division/services*
 - d. Guidance provided by HR Division/Services*
 - e. Coordination between Finance Division and HRD- increment & pay fixation*
 - f. Any changes you want to make in the current system of promotion*
- 8. Entire career how many times have you been transferred**
 - a. Were you consulted during your transfer*
 - b. Aware of current transfer guideline*
 - c. What do you think about the transfer criteria in place?*
 - d. Coordination between Finance Division & HR Division/Services*

e. *How is the handing/taking over of work during transfer?*

9. Human Resource Utilization

a. *Mis-match in Position and work*

b. *Have u been recognized for the good work done? If so, how?*

c. *Have you received support from your supervisor who encourages your professional development and progress?If so, how?*

d. *Are there technical cs working as HR focal in each department? What kind of work they do? Is it needed?*

10. When you superannuates/Voluntary resigns

a. *What is the current practice when civil servants resigns/superannuates*

b. *What are your expectation from the Agency for graceful exit*

c. *Would it make a difference to inform you about your superannuation 1 year ahead.*

d. *Are retirement benefit given to civil servants within 1 month from the effective date of superannuation.*

11. Communication/ Record of P/F

a. *Information dissemination from HR Division on all HR related matters*

b. *Should personal file be maintained by departments concerned? Pros and cons.*

c. *How will instituting a Feedback system in HR Division/Services help the staff of Agency?*

d. *What do you think about the information maintained by HR Division/Services*

e. *How did HR division/services handle the implementation of changes in your organization?*

12. MaX system

a. *Are you aware of the APA of your Agency/Departments/Sectors*

b. *Is target setting done in consultation by your Manager*

c. *Supervisor provides continuous feedback on your performance*

d. *Did you refer MaX manual? Is it user friendly and why?*

e. *How did the HRO orient/train you on the MaX system and cycle*

f. *Are you aware on what basis the moderation exercise was conducted? Was it done as per the manual? If so why?*

g. *How was the result of the moderation declared? Were you surprised with the result? If so why?*

h. *Are you aware of the incentive tied to moderation score? What are they?*

i. *What are some of the Personal Improvement Plan (PIP) in place for those civil servants who were categorized into Need Improvement in your organization.*

j. *Which performance category do you think has the most grievances and why?*

k. *What do you think of the representation of the staff in the Moderation Committee?*

13. *What are some of the Welfare system in place besides the civil service welfare in your Agency? If so how beneficial is it?*

14. *What do you think is the purpose of Leadership Feedback System (LFS)? In what ways can it be used to improve the organization as a whole?*

15. Are HROs able to guide you on all HR related matter? If so how?
16. How can HR division/Services help ensure division to achieve the result?
17. What should HRD focus to increase the performance of the Agency?
18. What HR Practice should get priority for HRD to increase agency's performance?
19. What are some of the services, HR Division/Services is doing well?
20. What are the weak areas in HR and how can be improved?

Questionnaires for HROs

1. What is expected from you in HR Division?
2. In what ways the Agency provides the opportunity to do your best at work?
3. To what extend does your supervisor support and encourages your professional development and progress?
4. How has the Agency recognized the good work done by you?
5. To what extend is CSIS helpful in delivering effective HR service delivery? How?
6. Is the work done by HRD is considered credible by other divisions in your organization/Agency? How?
7. To what extent are the notifications sent by the RCSC in various issues clear and to the point?
8. In what ways your associates within the division work as a team towards delivering quality services?
9. What should RCSC and the Agency do to equip HROs with the right skills and knowledge for the assigned work besides training?

Annexure 7

Note taking for interview

Name:
Position Title:
Position level:
Department/Division:
Years of Service
Gender:
Like:
Dislike:
Hobby:

Internal and External HR Process

List of required documents for verification	
RCSC	From the Agencies
√ Internal HR process template (<i>Annexure 8</i>)	
√ External HR process template (<i>Annexure 9</i>)	
Internal HR process	
<p>The internal HR process serves as a guide to the Agency's HRO to carry out the day to day HR functions. It outlines the step by step process for all the HR action starting from recruitment to separation thereby placing a system in place.</p>	
1	Assign each HRO to outline the internal HR process within a period of one week to understand the functioning of HR Division/Services as per the template in <i>Annexure 8</i> .
2	Using the template, following needs to outlined : -Step by step process for all HR actions -The delegation of authority between the HRC, HRO and Admin. Asst.
3	Presentation by HROs to the Audit team for further fine-tuning of the processes.
4	The internal HR process to be incorporated as recommendation in HR Audit report. The agency may change the process as per the requirements.
External HR Process	
<p>The external HR process which provides pre-information on the role of Department/Division, individual Civil Servants, HRD and RCSC for any HR function. It also outlines the documents required for specific HR actions and shows the time taken to complete the HR process.</p>	
1	HR Audit team to outline the external HR process as per <i>Annexure 9</i> in consultation with the Agency's HRO.
2	Discuss and present to the staff of HR Division/Services for further refinement.
3	The external HR process to be incorporated as recommendation in HR Audit report. The agency may change the process as per the requirements.

Annexure 8

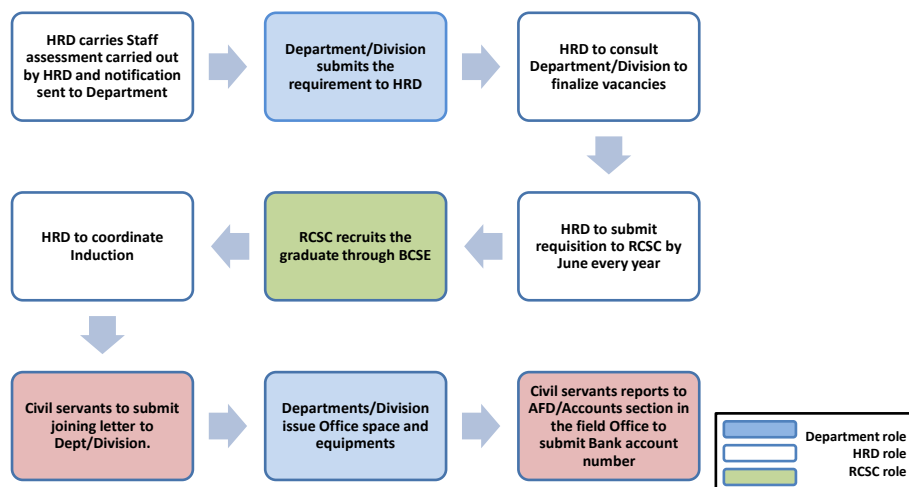
Template for HR Internal process

Internal HR Process: (Insert name of the Agency)				
HR Process:				
Sl. No.	Activities (for one post)	HRC	HRO	Admin Asst.
Contract Recruitment				
Contract Extension				
Contract Termination				

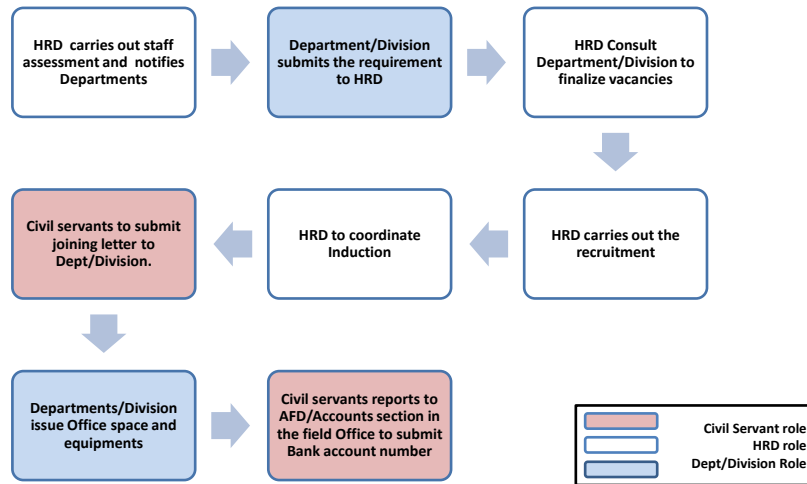
External HR Process

**HR PROCESS for
Departments/Division &
(Insert Agency name) Staff**

**Graduate Requisition for BCSE (P5 & P4)
(Timeline.....)**

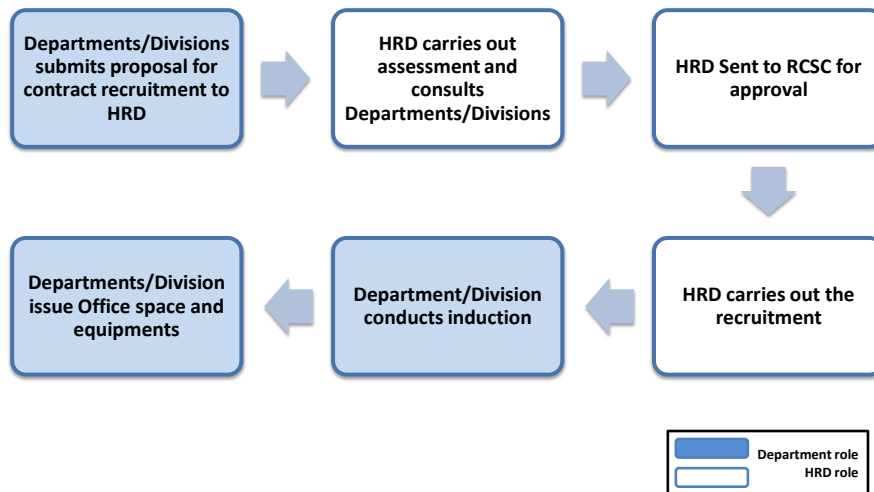


Recruitment (S1 & Below)

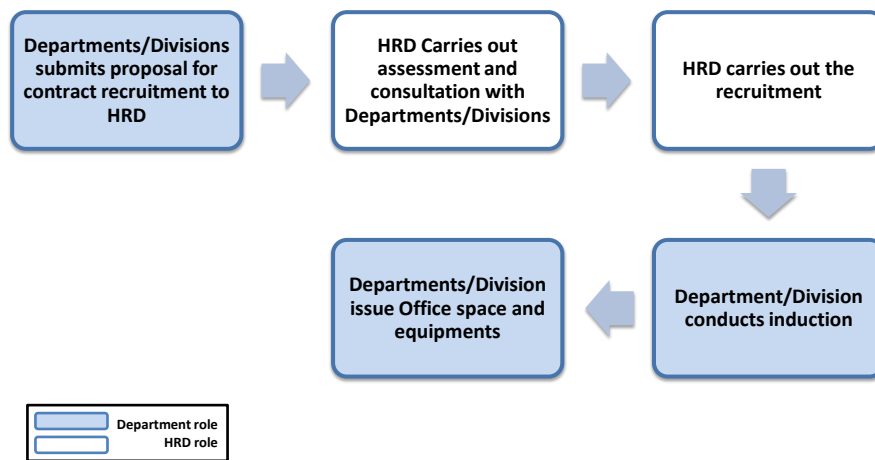


Note: The process is based on the assumption that the freeze is lifted by RCSC

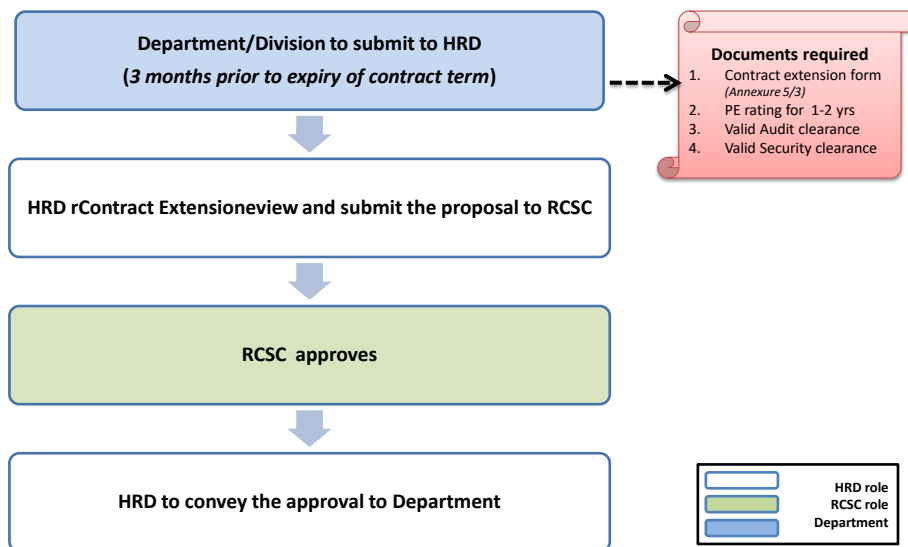
Contract Recruitment



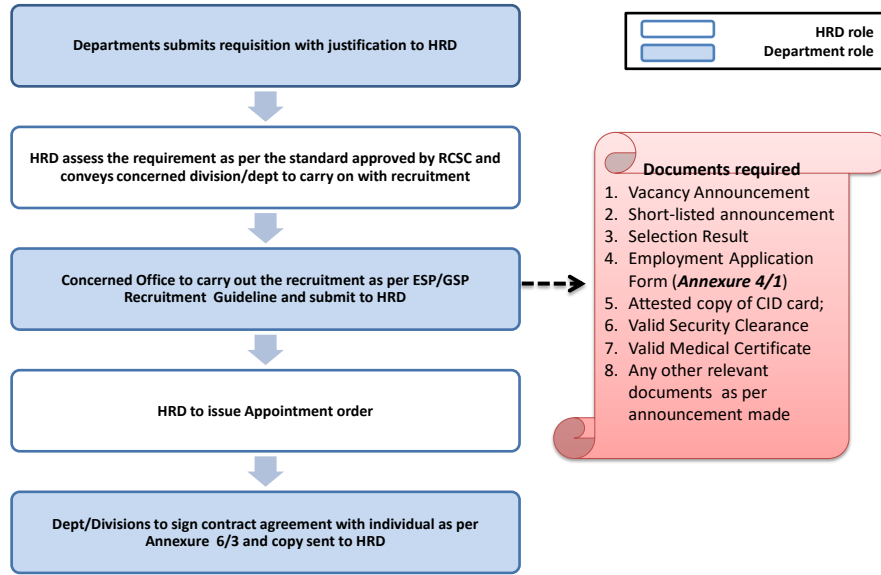
Contract Recruitment (Donor Funded)



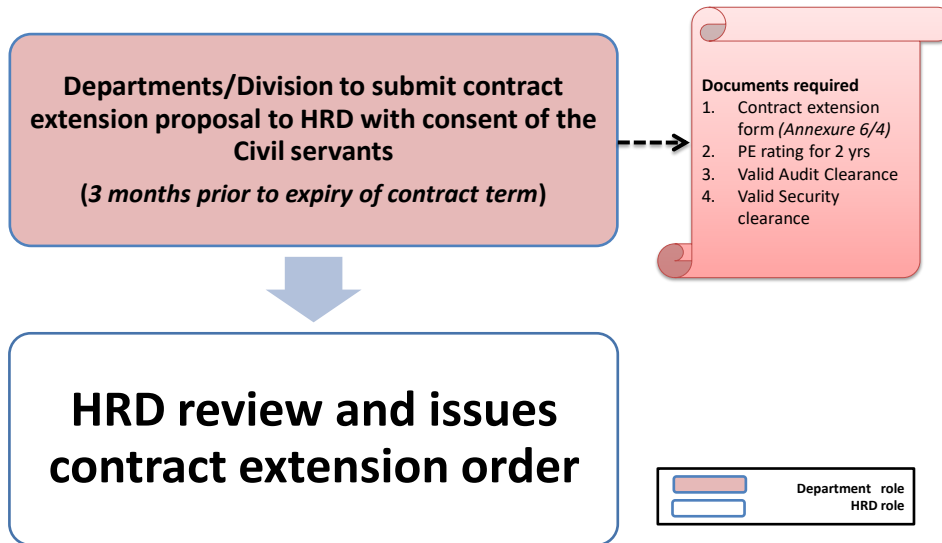
Contract Extension



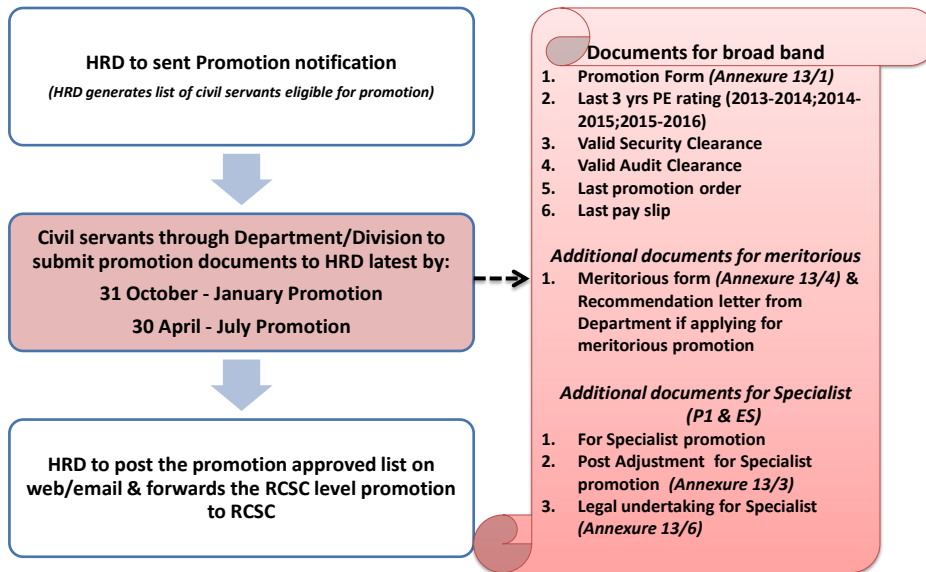
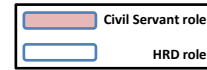
GSP/ESP Recruitment



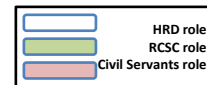
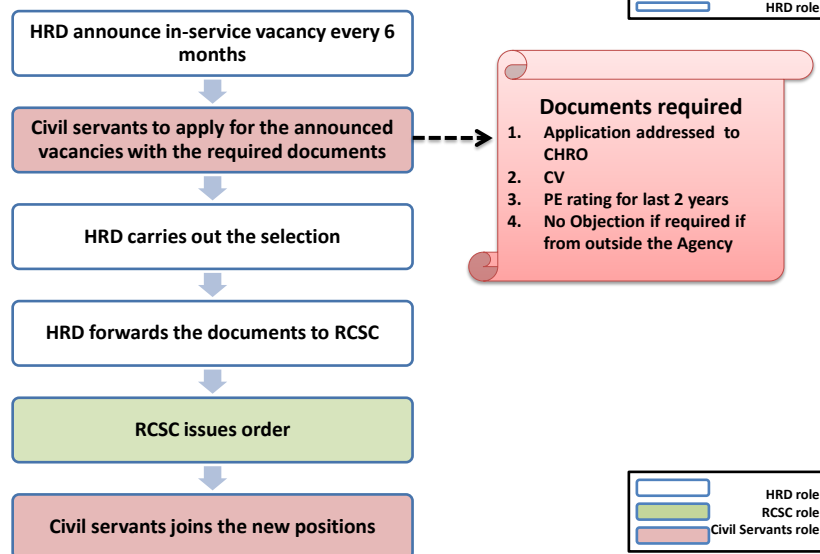
GSP/ESP Contract Extension



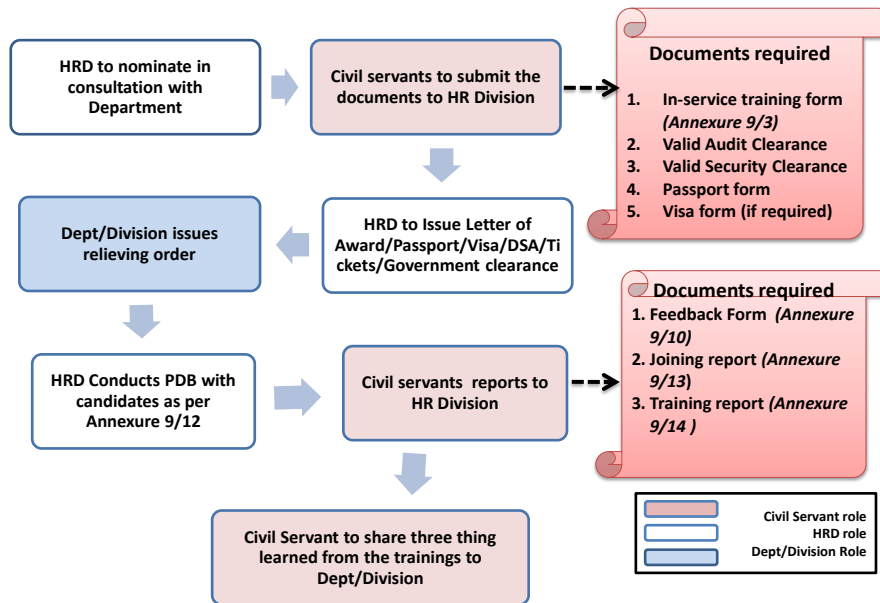
Promotion



Open Competition

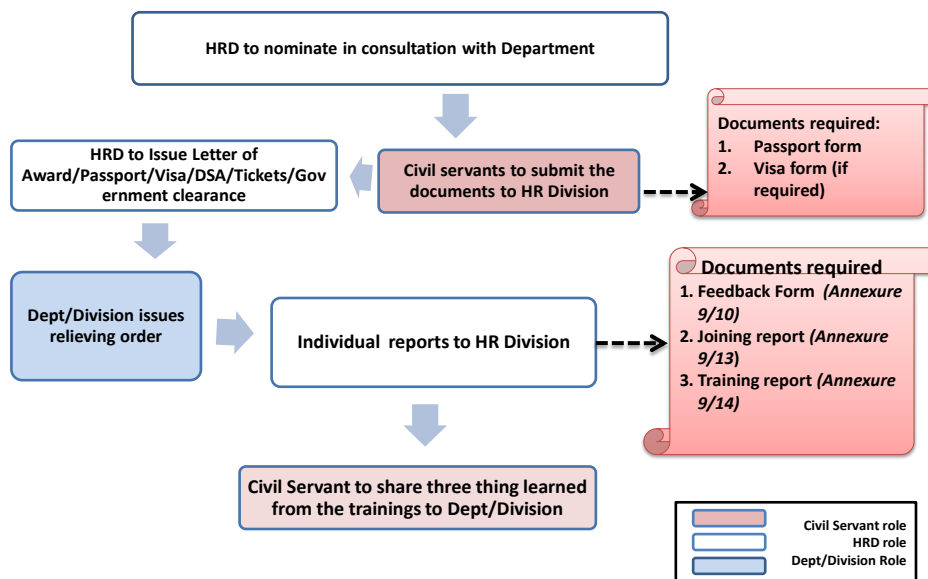


Short Term Training (Formal)

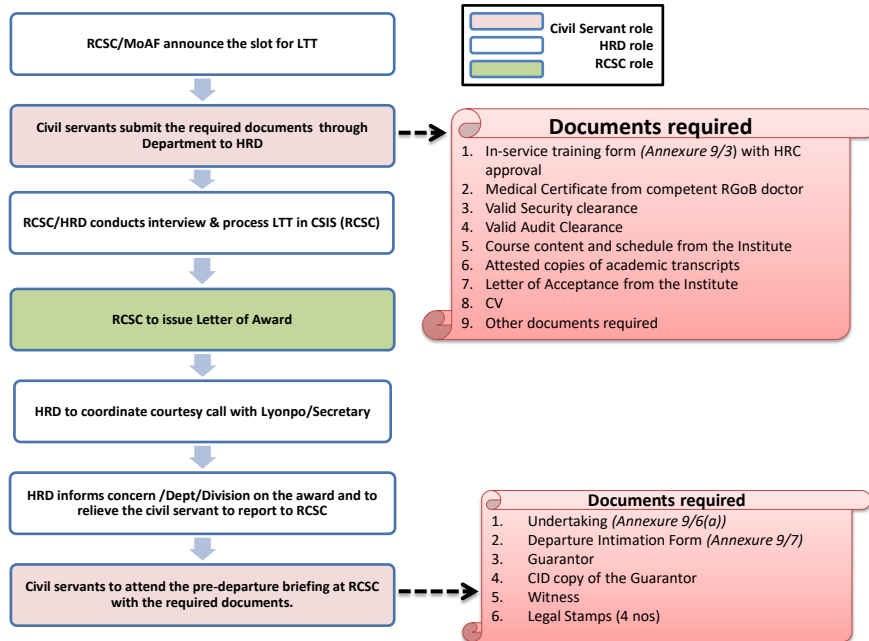


Short Term Training

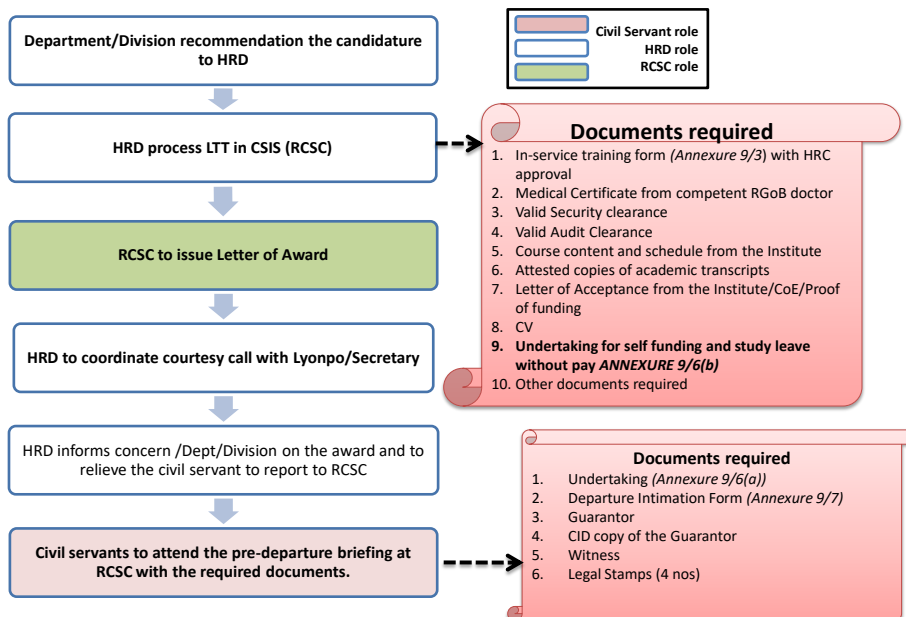
(Informal: Meeting/seminar/workshop/conference less than 5 days)



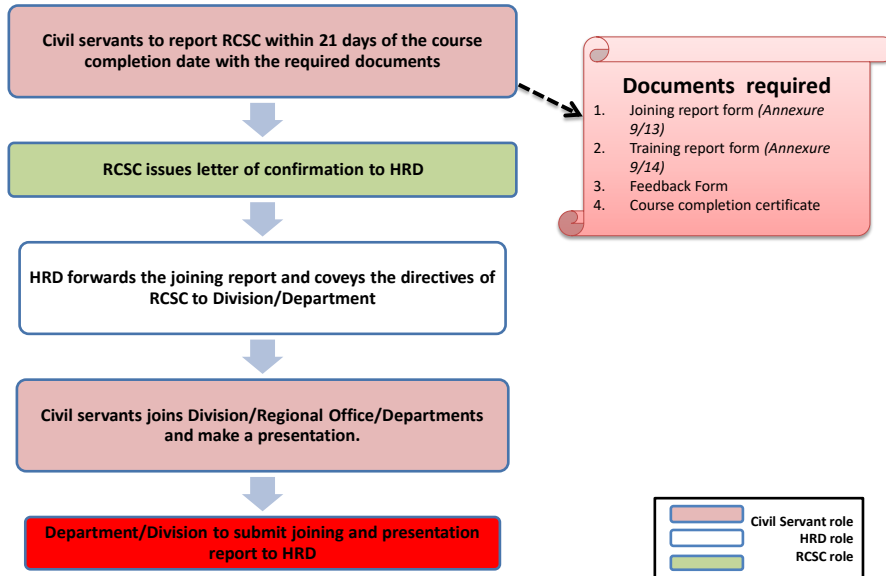
Long Term Training (RCSC/Agency)



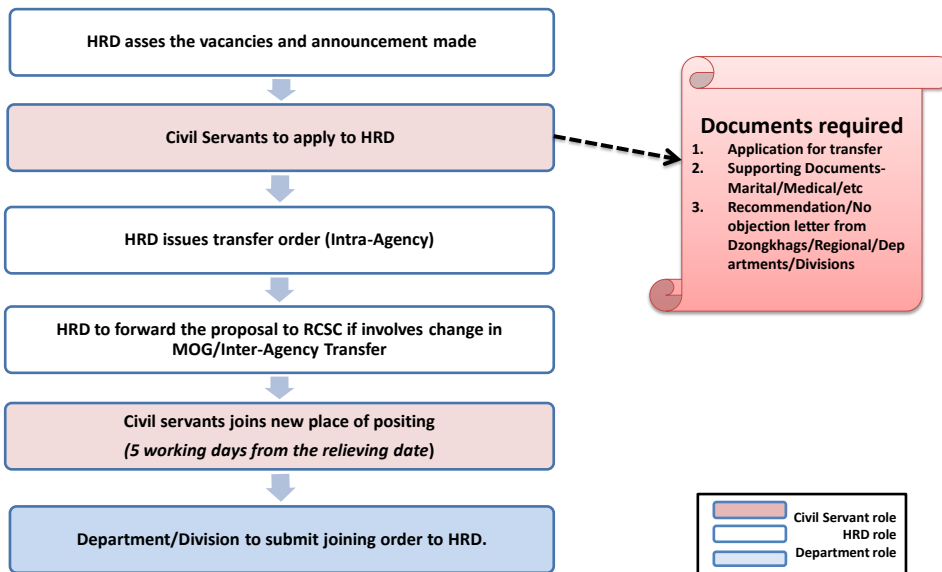
Long Term Training (Open Scholarship)



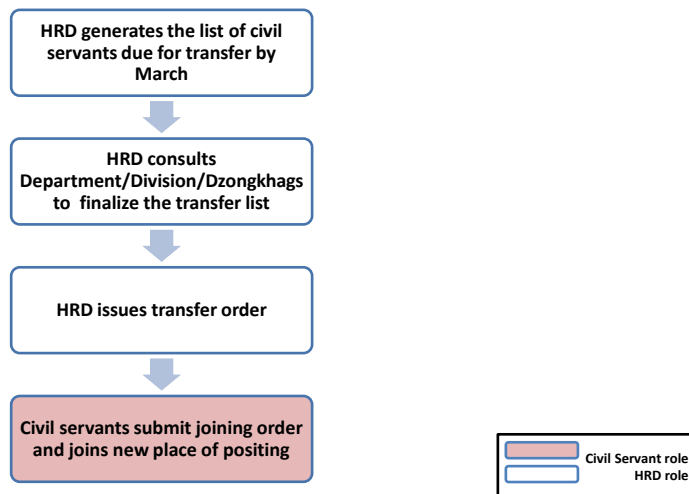
On Completion of LTT



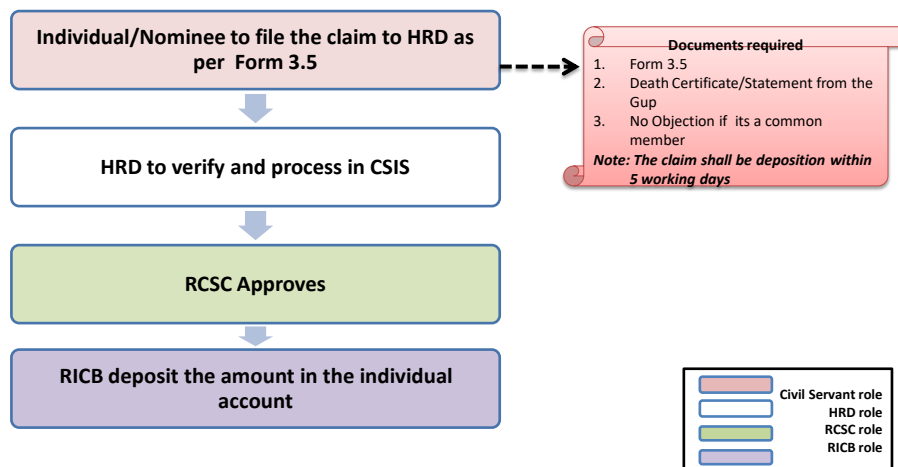
Lateral Transfer



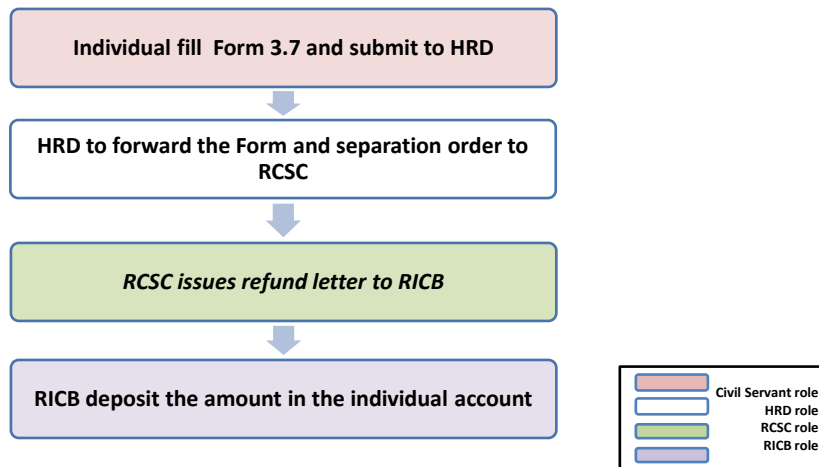
Transfer by Agency



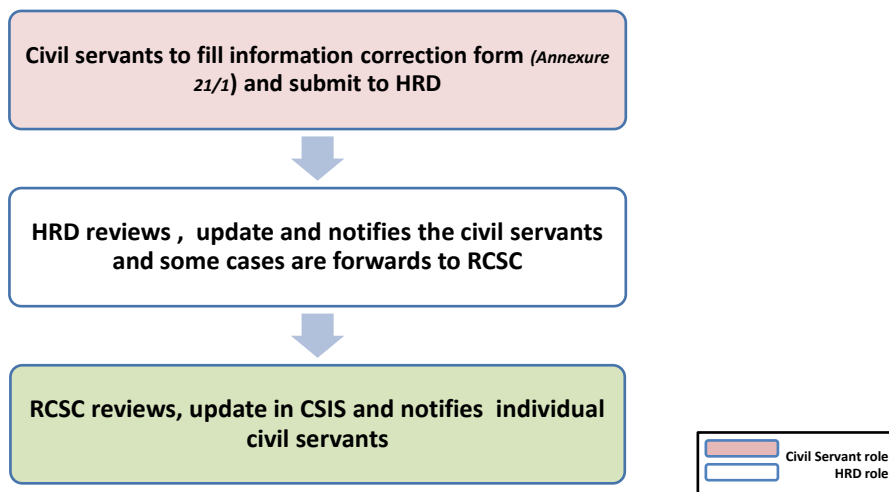
Civil Service Well-being Scheme (CSWS): Claim during death



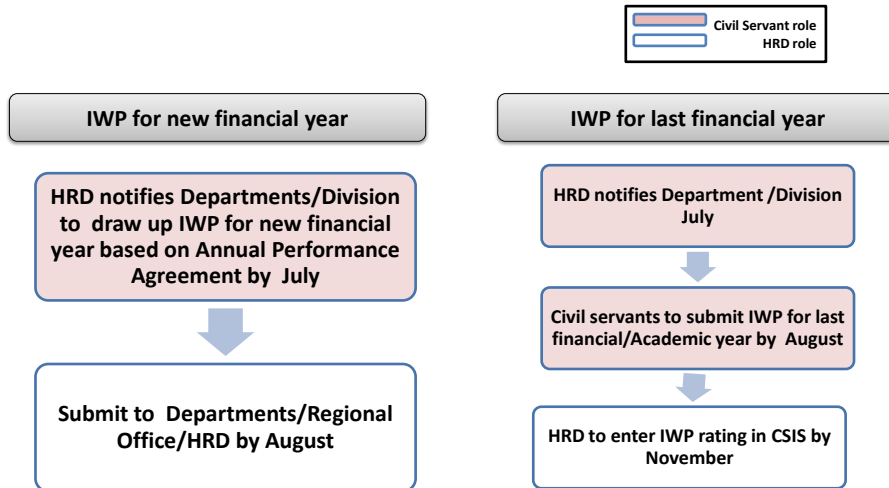
CSWS: Refund during voluntary resignation/ERS/Delinking provided not a single claim has been made



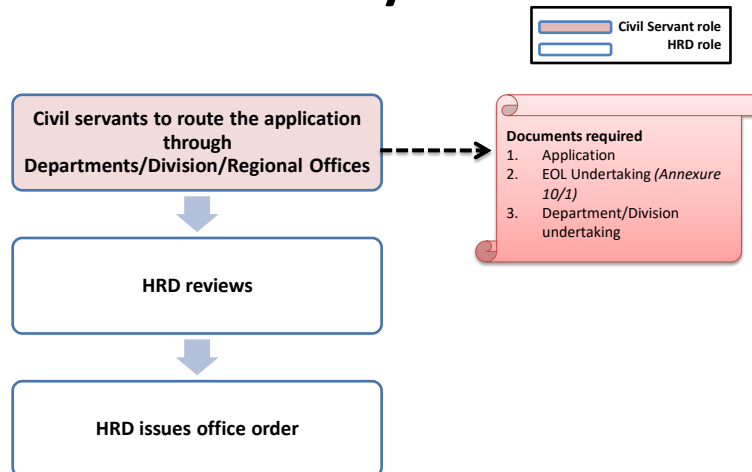
Information Correction



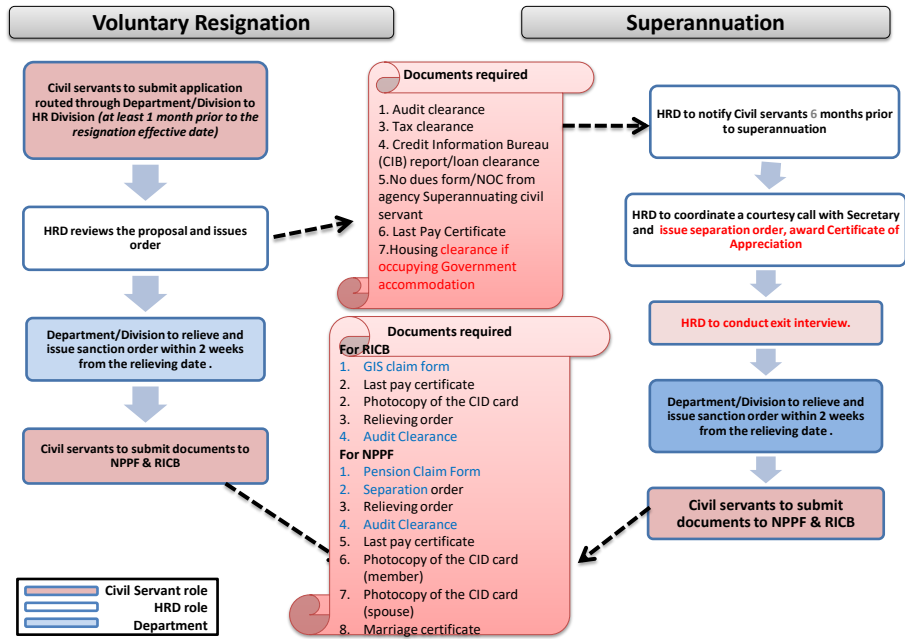
Individual Work Plan (IWP)



Extraordinary Leave



Separation



Training of HR Officers and Admin Asst.

Strategic Auditing: Training of HROs and Admin. Asst.	
As a part of HR auditing HRD staffs are trained to equip them with the basic computer skills like pivot table, conditional formatting and formulas. A session on the BCSR updates and the latest changes happening in the civil service are discussed.	
List of required documents for verification	
RCSC	From the Agencies
√ Training on Pivot table and conditional formatting.	√ List of civil servants
√ Relevant Civil Service Reform	√ List of Training
√ BCSR	√ List of civil servants on EOL
Process	
1	HR Audit team to present to HRD on Pivot table and conditional formatting as per the power point in Annexure 10 .
2	HR Audit team to demonstrate mock session on the following: √ Generate report for list of civil servant and assessing training gaps using pivot table. √ Using formula, determine the due date for superannuation and promotion. √ Finding duplicate values using conditional formatting.
3	Assign Admin. Asst. and HRO to generate reports using pivot table on various HR actions.
4	Admin. Asst. and HRO to make the presentation on the assignment to HR Audit team and HRD staff after a week.
4	Agency's HRO to and discuss on the relevant civil service reform/BCSR to HRD staff.



Royal Civil Service Commission

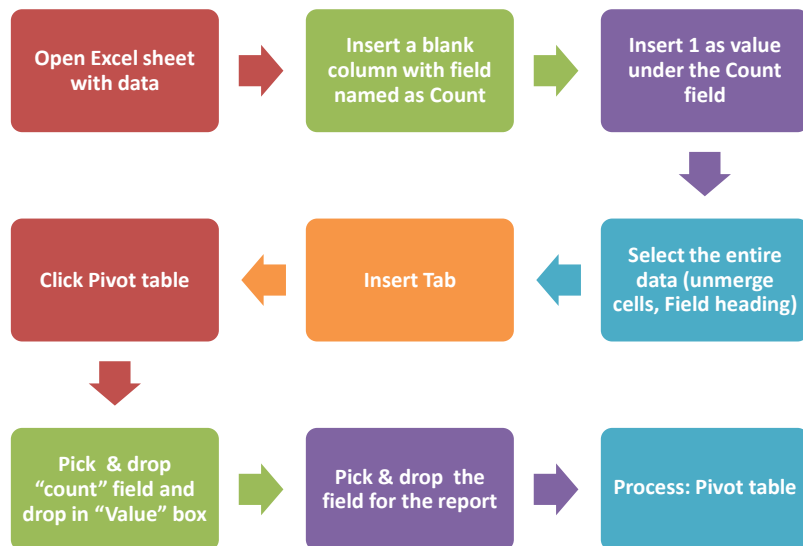
"Excellence in Service"

Training: Pivot Table & Conditional Formatting



Royal Civil Service Commission

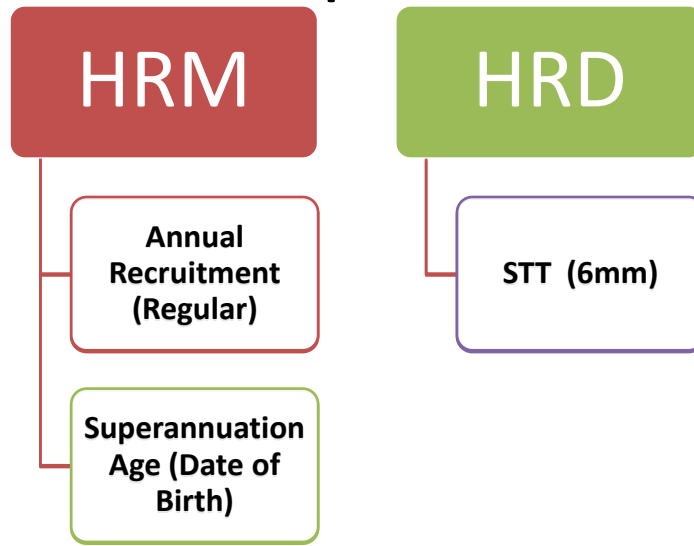
Process: Pivot table



"Excellence in Service"



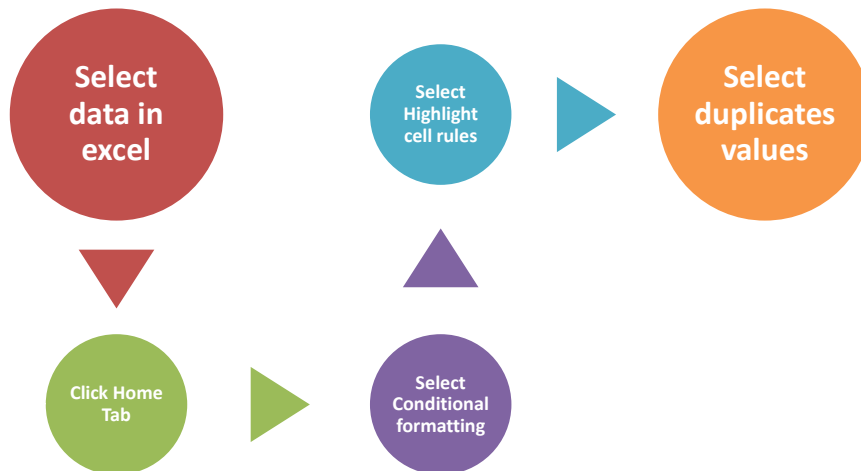
Reports



"Excellence in Service"



Conditional Formatting



"Excellence in Service"



EXERCISE

Sl. No.	Types of Reports
1.	Report nos. of cs eligible for promotions by Position level
2.	Report of cs on EOL by PL
3.	Report on number of contract recruited by PL
4.	List of cs due for contract extension by Department & Position level
5.	Report no. of cs undergoing study
6.	Cs due for transfer (5 yrs)
7.	Due for Superannuation
8.	List for cs award for 2017 (Segregate those who have received the award).
9.	Frequency for STT
10.	Training gap

HR Google Calendar

Strategic Auditing: HR Google Calendar	
HR google calendar captures the entire HR activities for a year which gives a pop up reminder, thereby ensuring proper management of HR functions.	
Process	
1	As per the template (<i>Annexure 11</i>), HRO to insert all the annual HR activity in the HR calendar.
2	Insert the activities in the Google calendar with pop up reminder
3	The HR calendar to be presented along with the HR Audit report.

Annexure 11

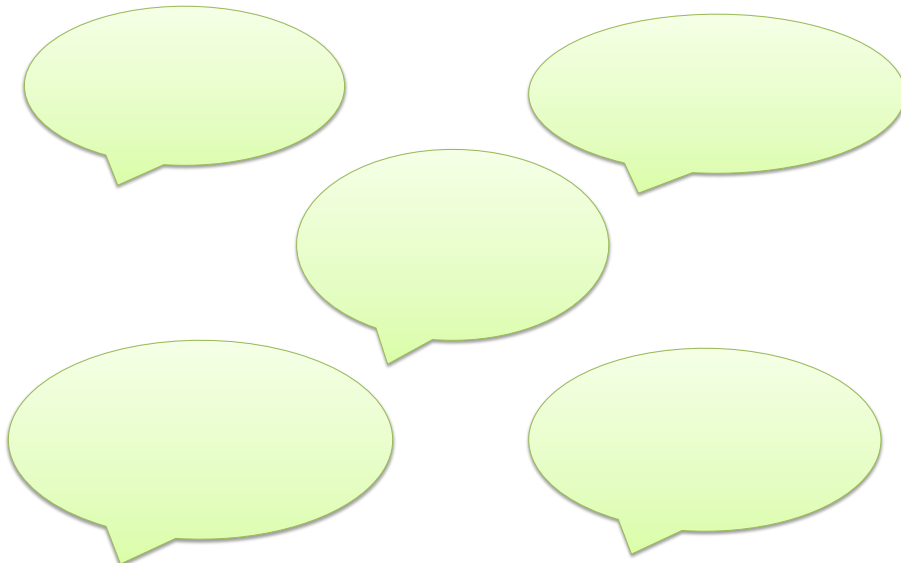
HR Calendar – 2017												
HR Actions	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sept	Oct	Nov	Dec
Recruitment												
Promotion												
Civil Service Award												
Transfer												
Separation												
IWP												
Short Term Training (STT)												
Long Term Training (LTT)												
Annual Feedback												
Contract Extension												

**Streamlining the function of HR
as per the *Need* of Staff**

Outline

- ***Methodology***
- ***Issues***
 - ❖ ***Recruitment***
 - ❖ ***Training***
 - ❖ ***Promotion***
 - ❖ ***HR Capacity***
 - ❖ ***Transfer***
 - ❖ ***Separation***
 - ❖ ***Communication***
 - ❖ ***Documentation***
- ***Recommendations***
- ***Prototype***

Recruitment Issues



Recommendations to improve Recruitment System



PROTOTYPE

Sl. Nos.	Department /Division	Position category	Approved	Existing	Gap	Nos. of cs superannuating
1						
2						
3						
4						
6						
7						

Cont...

Recommendations to improve Recruitment System



PROTOTYPE

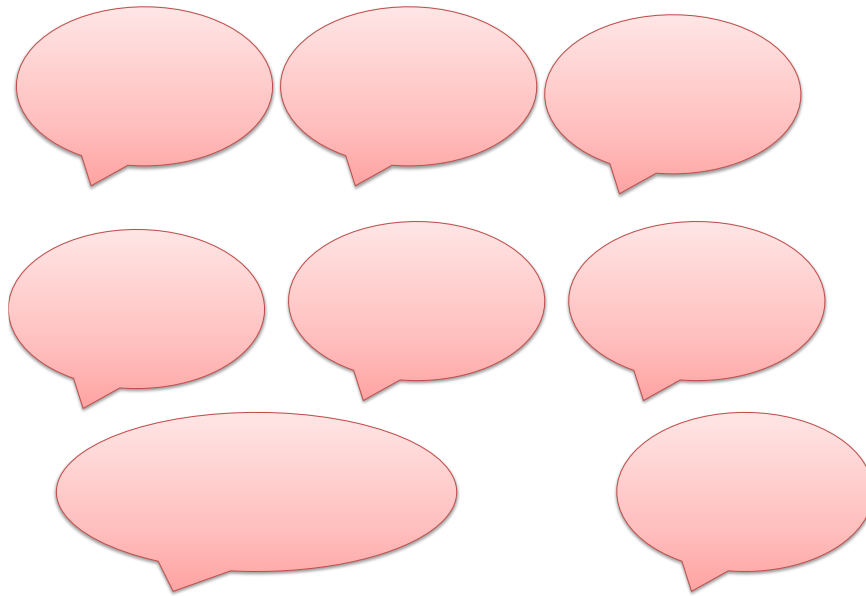
Recruitment (S1 & Below)

Note: The process is based on the assumption that the freeze is lifted by RCSC

PROTOTYPE

Graduate Requisition for BCSE (P5 & P4)

Training Issues



Recommendations to improve Training system

Annual Training report

- Presentation by HROs to Department
- HR calendar- January of every year
- Travel frequency
- List of civil servants who have travelled frequently
- List of civil servants who have not availed a single training

PROTOTYPE

Annual Training report (2016)

Sl. Nos.	Department /Division	Position category	Nos. of Training	Nos. Meeting/Workshop/Conferences	Total
1					
2					
3					
4					
6					
7					

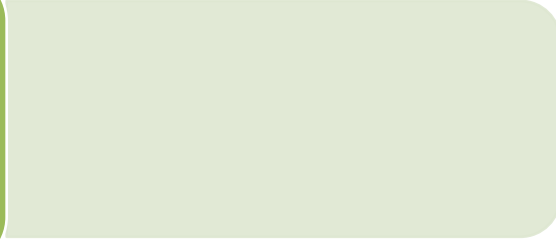
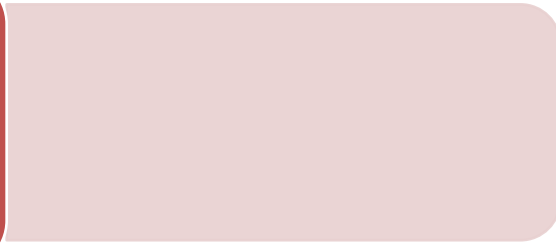
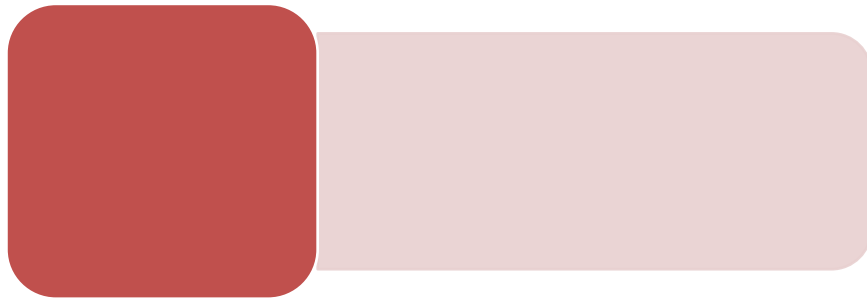
Cont..

Recommendations to improve Training system

The image shows three horizontal bars for recommendations. Each bar consists of a colored header box on the left and a light-colored body box on the right. The first bar has a red header, the second has a green header, and the third has a purple header. The body boxes are light red, light green, and light purple respectively.

Cont..

Recommendations to improve Training system



PROTOTYPE

Short Term Training (Formal)

PROTOTYPE

Short Term Training

(Informal: Meeting/seminar/workshop/conference 5 days and below)

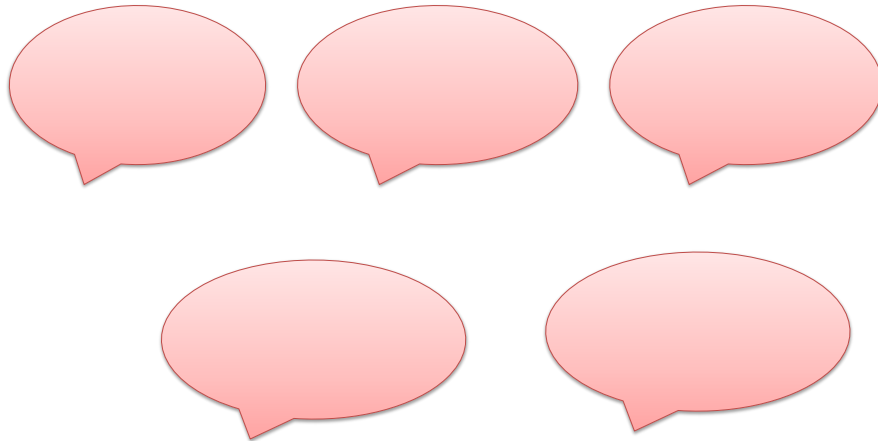
PROTOTYPE

Long Term Training (RCSC/MoAF)

PROTOTYPE Long Term Training (Open Scholarship)

PROTOTYPE On Completion of LTT

Promotion Issues



Recommendations to improve Promotion system

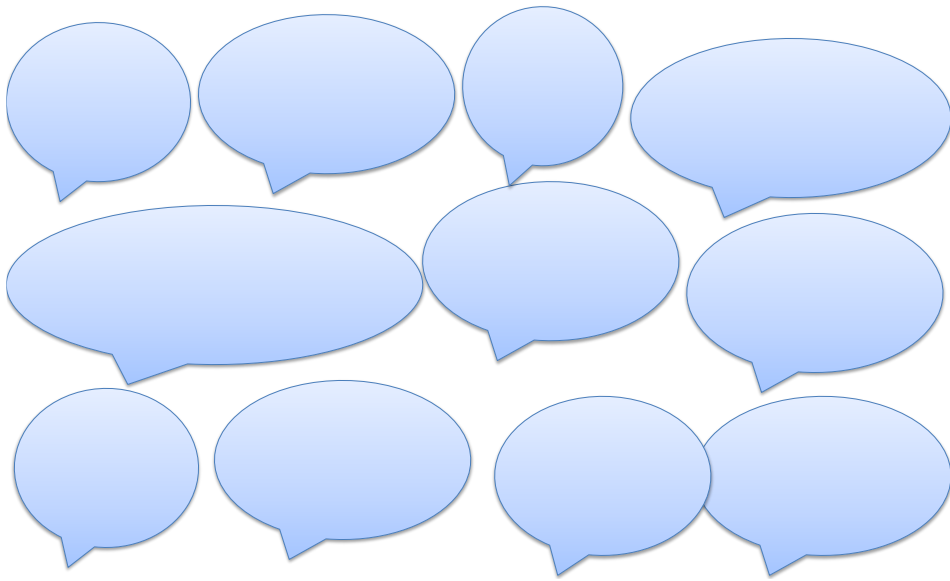
PROTOTYPE

Promotion

PROTOTYPE

Open Competition

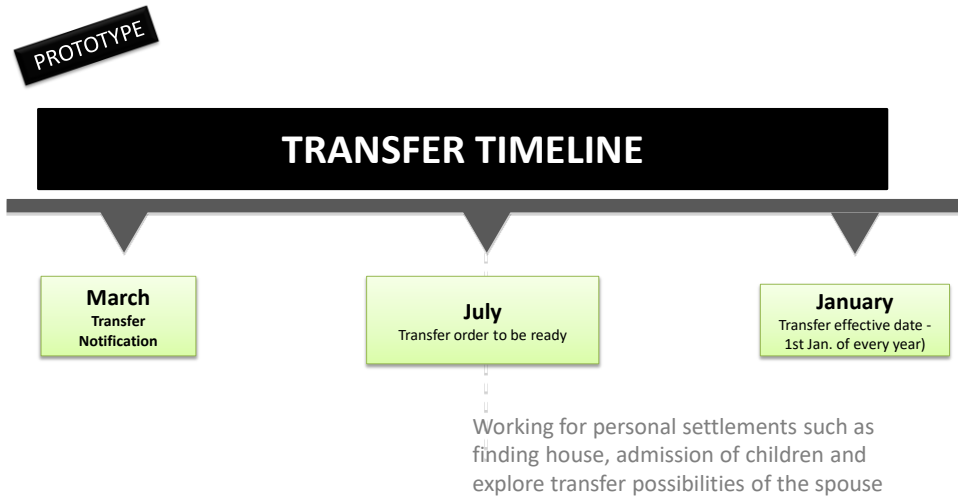
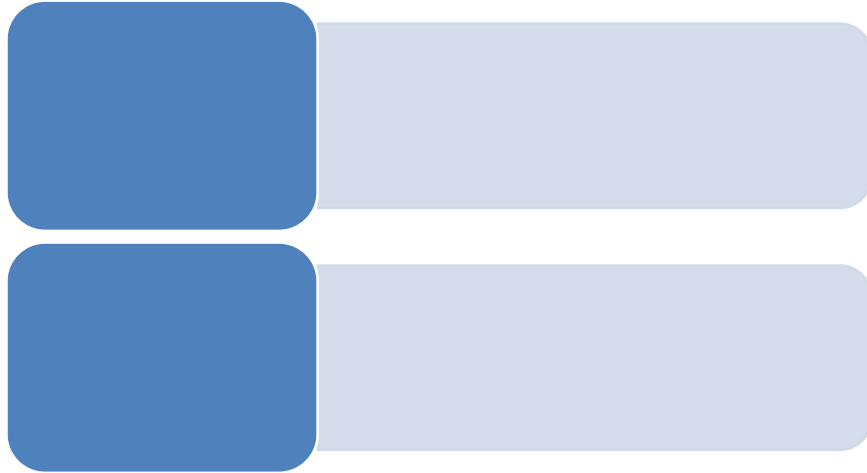
HR Capacity



Recommendation for building HRO Capacity



Recommendations: Transfer



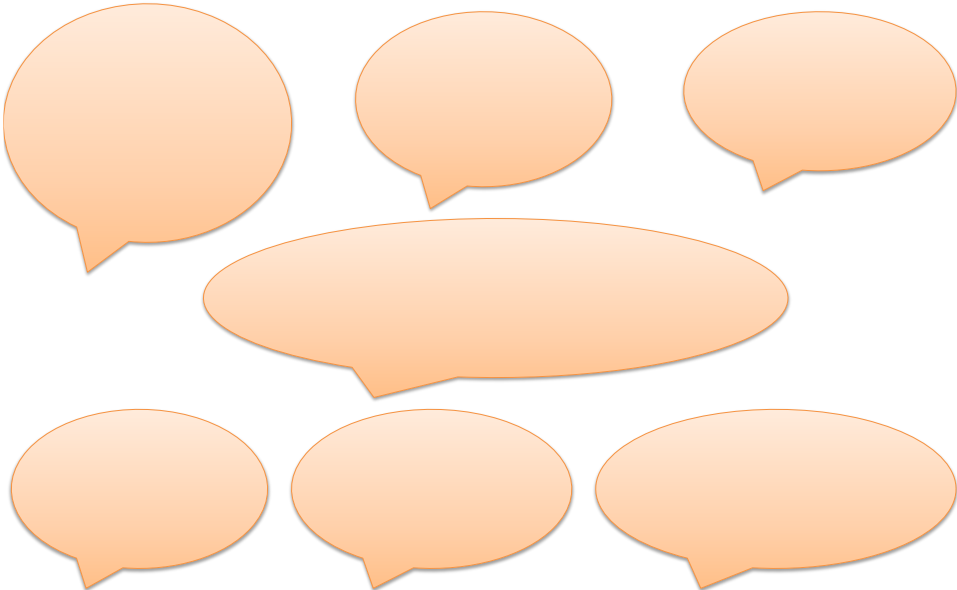
PROTOTYPE

Lateral Transfer

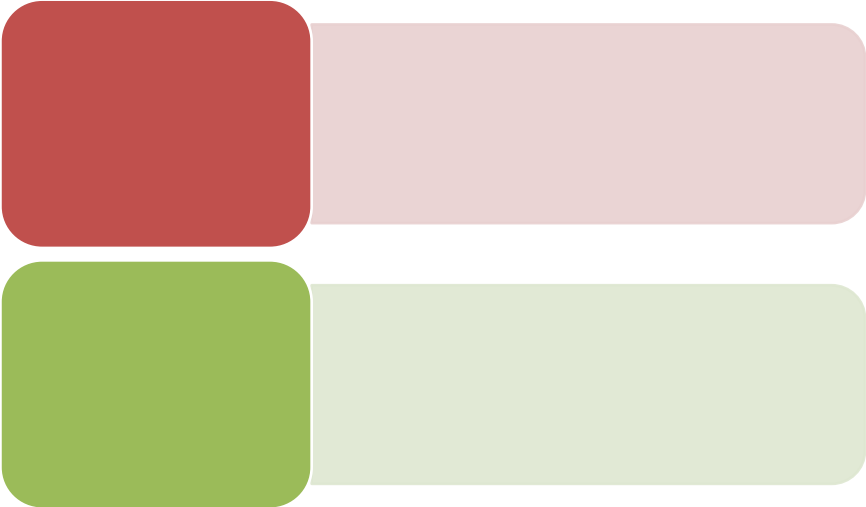
PROTOTYPE

Transfer by Ministry

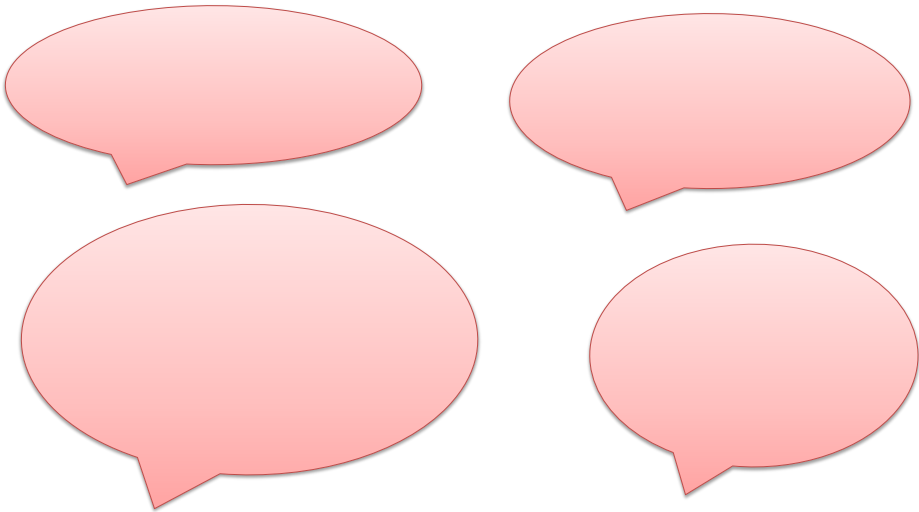
Communication Issues



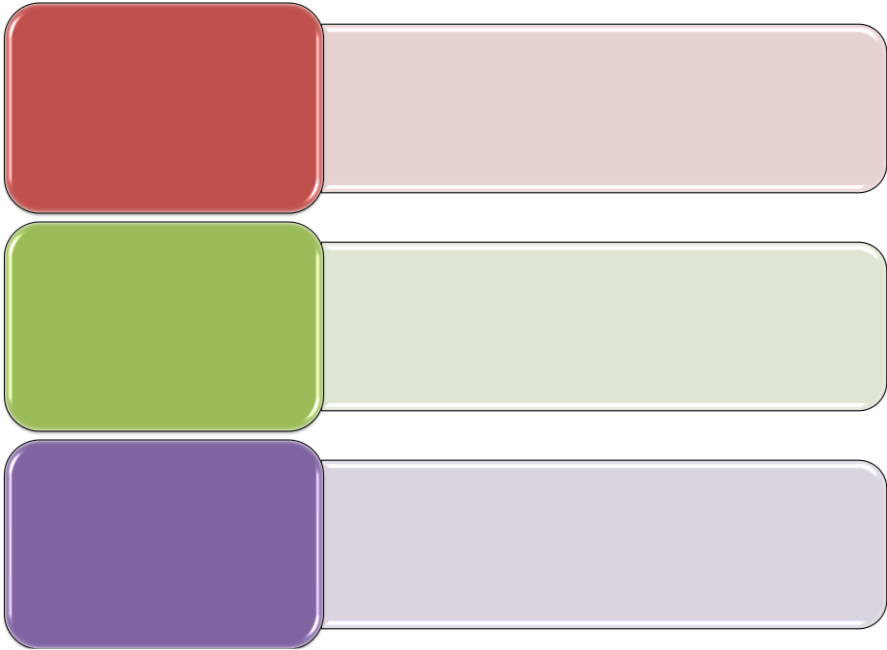
Recommendations to improve Communication



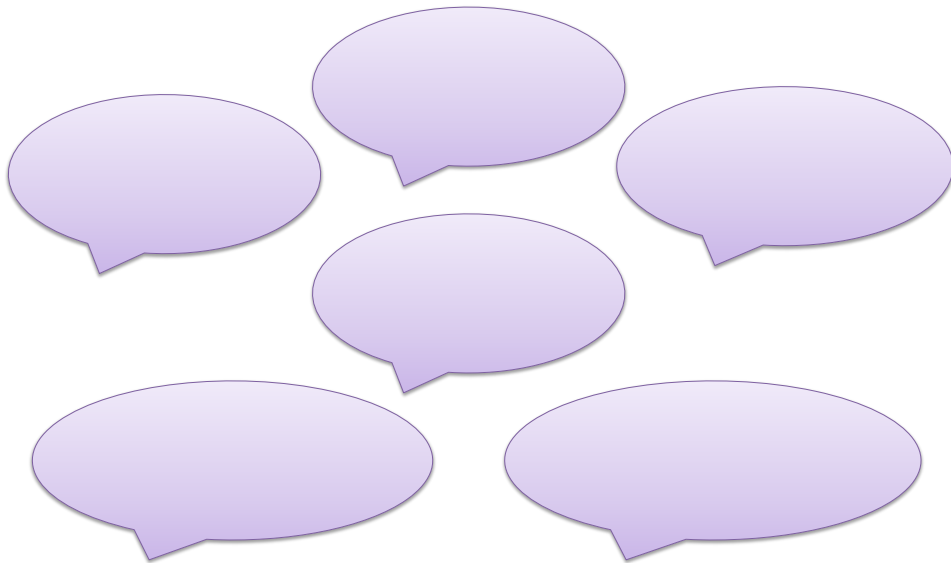
Separation Issues



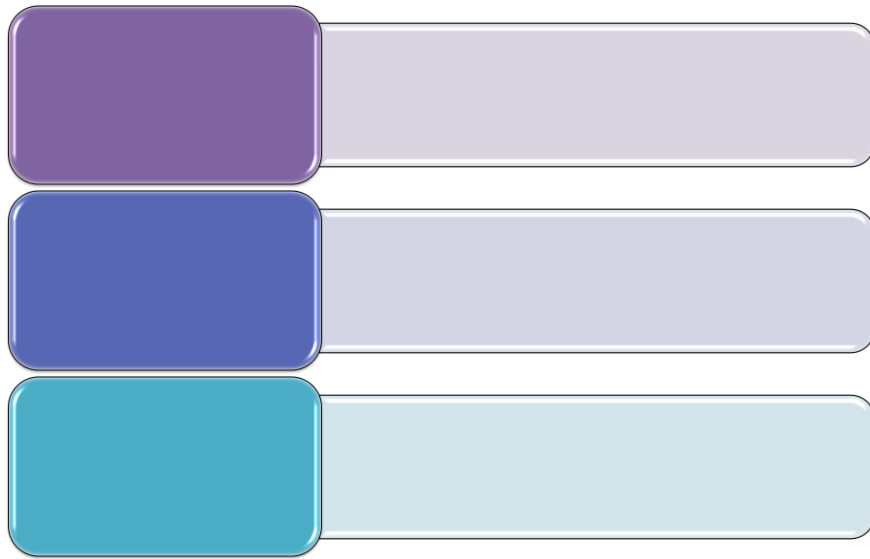
Recommendations: Separation



Documentation & Information Issues



Recommendations: Documentation & Information



PROTOTYPE

Information Correction

Strategic HR Audit Report template

Strategic HR Auditing: Streamline the functioning of HR Division as per the need of Staff	
<p>HR Auditing was carried out from till As per Commission's directive, in addition to compliance Audit, strategic HR Audit to streamline the functioning of HR Division as per the need of staff was carried out. The report is divided into four parts: The first column consists of list of HR findings/issues extracted directly from interviews and survey; Second column consists of overall recommendations based on the issues; the third column shows the approving authority for implementation of each recommendations made which is followed by the remarks from the Agency on the implementation status of recommendations.</p>	
Objective:	<ol style="list-style-type: none"> 1 Streamline the functioning of HR division as per the need of the staff 2 Build capacity of the HR Officers
Methodology	<ol style="list-style-type: none"> 1 HR Audit Survey (Sample size) 2 Interviewed: Number of civil servants (Executive -.....; Specialist (ES)-; Professional & Management category -.....; Supervisory & Support category -) 3 Co-creation of ideas with HROs and (Insert Agency Name) staff

Of the(Nos) recommendations, (Nos) are already implemented by (Insert Agency name) and (Nos) recommendations by RCSC. The recommendations are quick wins meaning changes are small and very much implementable within the authority of Head of Agency/CHRO. These recommendations were co-created with HROs and the (Agency Name) staff. The Recommendations are endorsed by (Nos) Commission meeting held on

Sl. Number	HR Findings <i>(Finding are direct extract from interview & Survey)</i>	Recommendations	Approving Authority:			Agency's remarks on implementation status : <i>(This column to be used for final report only)</i>
			CHRO	Secretary	RCSC	
I	RECRUITMENT					
II	TRAINING					
III	PROMOTION					
IV	HR CAPACITY					

V	TRANSFER					
VI	COMMUNICATION					
VII	SEPARATION					
VIII	DOCUMENTATION AND INFORMATION					