Working Paper No. 13

A Cross-Jurisdictional Scan of Practices in Senior Public Services: Implications for New Zealand

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A Cross-Jurisdictional Scan of Practices in Senior Public Services: Implications for New Zealand

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Abstract

The Senior Executive Service (SES) in New Zealand has been withering ever since 1991, and the State Services Commission is now finalising a new programme to replace it. In that regard, a review of the practice of SMD in other jurisdictions is a useful first step. This paper conducts that review and identifies several implications for the new SMD programme. Three key ingredients that are identified from the practice of SMD in other jurisdictions are: (a) the need for a central database that helps in the identification and tracking of senior managers in the Public Service; (b) the need for the SSC and the State Services Commissioner to play a more assertive leadership role in facilitating the tone and direction of the management development process in the Public Service as a whole; and (c) use of a common competency framework across the Public Service.

Contents

Abbreviations

APS	Australian Public Service
CCMD	Canadian Centre for Management Development
CMPS	Centre for Management and Policy Studies (UK)
CSC	Civil Service College (UK)
CSRA	Civil Service Reform Act (USA)
DPMC	Department of Prime Minister and Cabinet (New Zealand)
ECQ	Executive Core Qualifications (USA)
EIR	Executives in Residence (USA)
ENA	*Ecole Nationale d'Administration* (France)
ERP	Executive in Residence Programme (USA)
FAPA	Federal Academy for Public Administration (Germany)
FEI	Federal Executive Institute (USA)
GS	General Schedule (USA)
HRM	Human Resource Management
KSA	Knowledge, skills and attributes
M&E	Monitoring and Evaluation
MDC	Management Development Centre (New Zealand)
MPA	Master of Public Administration
MSPB	Merit System Protection Board (USA)
NPA	National Personnel Authority (Japan)
NPR	National Performance Review (USA)
NZPS	New Zealand Public Service
OECD	Organisation for Economic Cooperation and Development
OERM	Office of Executive Resources Management (USA)
OJT	On-the-job training
OPM	Office of Personnel Management (USA)
OPS	Open Personnel System (Korea)
PS&MPC	Public Service and Merit Protection Commission (Australia)
SCS	Senior Civil Service (UK)
SCSG	Senior Civil Service Group (UK)
SELCF	Senior Executive Leadership Capability Framework (Australia)
SES	Senior Executive Service (USA, Australia)
SMD	Senior Management Development
SPS	Senior Public Service (Netherlands)
SSA	State Services Act (New Zealand)
SSC	State Services Commission (New Zealand)
T&D	Training and Development
WIG	Whitehall and Industry Group (UK)

Introduction and Methodology

The purpose of this paper is to assess how several international jurisdictions have gone about instituting policies and programmes on senior management development (SMD) in their public services, and to draw lessons for adaptation to the New Zealand Public Service (NZPS). The paper looks at key issues related to SMD including the framework for management development in the public service; key players and locus of impetus for SMD; macro-characteristics that define the programmes (including political and management domains); key features of the programmes (including how issues of competencies/skills set, diversity, staff development, etc. have been dealt with); and results of any evaluations (including the nature of the problems and how they have been addressed, if at all).

Definitions

As used in this paper, various terms are defined as follows:

"360 degree appraisal" – An appraisal system that focuses on getting feedback from self (zero degrees), superiors (90 degrees), peers and colleagues (180 degrees), and subordinates and/or customers (360 degrees). The purpose is to gain a more rounded view of an individual's contribution.

"Capability" – Capability can be used with reference to individuals as well as to organisations. With the former, it implies having the appropriate skills and attributes necessary to get the work done. Capabilities can be specific, generic, or adaptive (i.e., enabling individuals to react quickly and positively to changes in their environment, roles, etc.). The term is generally interchanged with competency although there are inherent differences.

"Centre" – The "centre" is taken to mean the central body (or bodies) that either directs or guides management action in government departments. The Centre in New Zealand consists of the Department of Prime Minister and Cabinet (DPMC), the Treasury, and the State Services Commission (SSC).

"Chief executive" – A chief executive is the head of a government department or agency. Different jurisdictions have different titles for these positions (such as Director General, Secretary, etc.).

"Competency framework" – A framework of behaviour and attribute-based characteristics that are associated with particular roles in the job; draws on the traditional focus on KSAs (knowledge, skills, and attributes) required for a job.

"Diversity" – The term denotes "otherness" (i.e., human qualities that are different from one's own and outside the groups to which one belongs). Primary dimensions of diversity include: age, ethnicity, gender, race, etc.; and secondary dimensions of diversity are those that can be changed and include educational background, geographic location, income, marital status, religious beliefs, etc. As used in this paper, diversity focuses upon sex- and ethnic-based differences.

"Jurisdiction" – As used in this paper, the term refers to a national or a state government (e.g., the Commonwealth of Australia and the State Government of New South Wales). Given the existence of senior public services in several regional jurisdictions in countries such as Germany and Australia, it is necessary to make this distinction.

"Leadership" – The term implies showing the way forward, and guiding or directing the behaviour or opinion of others; as used in this paper, it also refers to the traits that are sought in senior managers vis-à-vis management of their offices as well as interactions with their subordinates.

"Mentoring" – A one-to-one relationship between an individual and a more senior manager. Mentoring provides staff members with avenues to get guidance on everything ranging from organisational politics to career and personal development. Mentors are usually from within the individual's own organisation, although this is not a firm requirement. The term is often used complementarily with coaching. However, coaching refers more to showing the subordinates ways to enhance work-related performance. Mentoring tends to be much more personal. Executive coaching is a growing trend in the development of senior managers.

"Public management system" – As a working definition, this term covers the relationships between organisations and those who have some responsibilities on behalf of the community for direction, stewardship and management. This includes the structures and governance arrangements of state sector organisations, and systems for managing strategy, accountability and performance management.

"Public sector" – The public sector in New Zealand comprises the state sector ("central government") and all local authorities ("local government"), including local authority trading enterprises.

"Public Service" – The Public Service in New Zealand comprises the 39 departments listed in the First Schedule to the State Sector Act.

"Senior management development" – The term senior management development is about ensuring the quality of senior management and leadership in the Public Service. It is management development for potential and existing senior managers, to enable them to function more effectively in a current role or for a future senior management or chief executive role.

"Senior manager" – It is rather difficult to come up with a uniform definition of a senior manager across various jurisdictions given that the size and structure of the public services vary so widely.[2] In general, however, and used in this paper, the term is taken to mean someone who is at the upper echelon of the public service but whose position in a particular tier within the echelon may vary among organisations depending upon the organisational and job sizes. Hence, someone categorised in one organisation (e.g., a small policy-oriented department) as a senior manager may not necessarily be so in another (e.g., in a large operations-oriented organisation).

"Senior public service" – This term denotes the upper echelon of the public service in any jurisdiction although different countries use different terms to identify it. In the US federal government, for example, the senior public service is known as the Senior Executive Service; in the UK, Senior Civil Service; in Australia, Senior Executive Service; in the Netherlands, Senior Public Service; in Canada, Executive Group; and in Singapore, Administrative Service.

"Succession management" – Succession management is about ensuring a supply of quality managers and leaders in the public service. It is an ongoing process for finding and

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[2] See OECD (1997), Annex 1, for comparisons of broadly comparable groups of senior managers in OECD countries.

developing people to fill key executive roles (including senior management, chief executive and specialist roles). The term is used in conjunction with "succession planning" which refers to the existence of a conscious attempt to put in place a system that ensures career progression leading to leadership positions in the organisation.

"Training and development" – The range of activities that are undertaken in an organisation to enhance the knowledge, skills and attributes of staff members that work there. The end result of all training and development activities is to increase the capability of the staff members to do their work better and to make them aware of the environment (including value systems) in which they work.

Research Methods

The paper does not delve into the theoretical work on SMD in general. The literature on it is indeed vast but since the focus of the paper is on the experiences of jurisdictions in the practice of senior public services, it is not deemed essential to carry out a thorough review of the theoretical work. The paper is based primarily on secondary sources of information such as journals, published reports, books, and research findings. Several primary sources constituting key officials in several OECD countries and elsewhere were also contacted for up-to-date information on management practices in their senior public services (see Annex I). Some information was also corroborated through personal networking of key staff members in the SSC.

While coverage for the report revolves primarily around the OECD countries merely by virtue of the fact that it is these countries that have attempted the most in terms of SMD, there is some research that has been attempted related to other countries such as Singapore. The report also does not restrict coverage to national jurisdictions and presents, wherever relevant, information from regional jurisdictions as well.

Outline of the Paper

The paper first looks at the experiences in management of the senior public services in four OECD countries – the USA, UK, the Netherlands, and Australia. It then looks at four key themes in SMD experiences that have been evident in the international literature; country experiences highlighted here are not limited to the four countries cited earlier. This is followed by a look at the implications of all these developments on the development of a SMD programme in New Zealand.

Country Experiences in Management of Senior Public Services

A review of the available literature on country experiences in the management of senior public services reveals that there is a wide range of countries (such as the US, UK, Australia, the Netherlands) that formally recognise a distinct group of senior civil servants, and others (such as Denmark and Finland) that do not do so formally. However, even in those jurisdictions where no formal distinction is made, there is indeed recognition that civil servants in the upper echelons of the public service have unique needs with respect to training and development opportunities. Keeping with the general thrust of this paper, the issues for each jurisdiction are restricted to the general background, development opportunities, and the use of competency frameworks. The jurisdictions that are reviewed include: the USA, the UK, the Netherlands, and Australia.[3]

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[3] The primary reason for this is that these four (along with New Zealand) identify a distinct group of people as senior civil servants. On the other hand, totally decentralised tasks and responsibilities for senior civil servants

The Senior Executive Service in the USA

General Background

The United States was the first country to designate a Senior Executive Service (SES) in 1978 and, therefore, carries substantial interest for our purposes. According to the 1978 Civil Service Reform Act (CSRA), the SES was designed to be a corps of executives selected for their leadership qualifications and not their technical expertise. Members of the SES (6,831 career, non-career and limited appointees in September 2000) serve in key positions just below the top presidential appointees. SES members are the major link between these appointees and the rest of the federal work force. The Office of Personnel Management (OPM) manages the overall federal executive personnel programme, and the Office of Executive Resources Management (OERM) provides the day-to-day oversight of, and assistance to, agencies as they develop, select, and manage their federal executives.

The SES includes most managerial, supervisory, and policy positions classified above General Schedule (GS) grade 15 or equivalent positions in the executive branch of the federal government. The position involves one or more of criteria such as directing the work of an organisation, monitoring progress toward organisational goals, etc. In September 2000, the proportion of minorities in the Senior Executive Service was 14.4 percent (not much change from about 12 percent in the mid-1990s).[4] Also, as of September 2000, the number of females in the SES was 25.2 percent,[5] up from 13 percent in 1994.[6]

Figure 1. Number of Women in the US SES (various years)
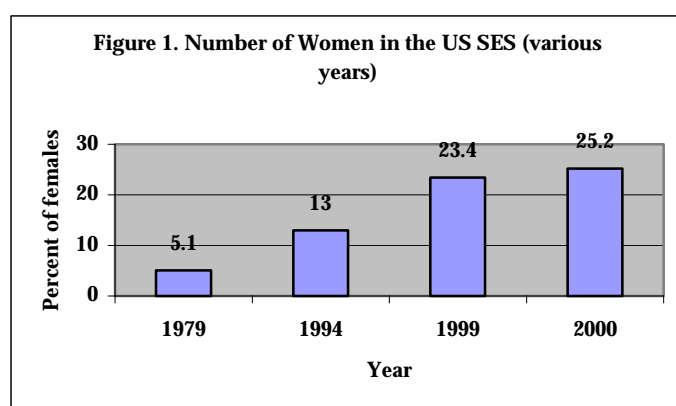
In terms of career appointments, a full 88.6 percent of all SES appointments in September 2000 were careerists[7], which does not say much about the SES being open to outsiders. Career appointments are selected on merit principles and must be approved by the Qualifications Review Board. Non-career appointments, on the other hand, are made by the Executive and cannot exceed a quarter of the agency's SES position allocation. Government-wide, only 10 percent of SES positions may be filled by non-career appointees.

Given the political structure and process in the US, there is sharp contrast between the pattern of senior civil service practices in the US and those in other advanced democratic states such as the UK and France. In the US, senior career administrators are much less generalists and their careers tend to be more functionally specific. Role specialisation also between the politicians and top civil servants in the US is less marked than in European jurisdictions. The CSRA at one time limited the number of positions in the SES to 8,000 but that limitation has now been lifted. Still, in 2001, 7,744 permanent positions were allocated for the SES, 10 percent of which could be filled through political appointments.

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are evident in Austria, Belgium, Denmark, Finland, France, Germany, Portugal and Sweden (see Berenschot (1997), p. 11).

[4] See the SES website at www.opm.gov, date modified: 28 February 2001 for the earlier figure; and Selden and Brewer (2000) for the latter one.

[5] See the SES website at www.opm.gov, date modified: 28 February 2001.

[6] Mani (1997), p. 545; for a discussion of gender in the US SES, see also Dolan (2000).

[7] See www.opm.gov, date modified: 28 February 2001.

The SES might be the oldest, but it is interesting to note that there really is not any formal succession programme in place. In a 1999 survey of the SES (40 percent response rate), only 38 percent of the respondents said that there was a formal succession planning programme in place in their organisations for SES members.[8] And of those, only one-third participated in the programme.

Development Opportunities

The Office of Executive Resources Management (OERM) helps coordinate interagency training programmes and the Federal Executive Institutes (FEI) in many states provide the training. There are also individual agencies (such as the Treasury) that have developed their own Leadership Programmes that have sparked considerable enthusiasm among practitioners. In the programmes, there is a fair amount of mentoring and coaching that is provided. The Executive Core Qualifications (ECQs; see below) form the basis for the executive and management development curriculum. In the upper echelon of the SES, there is a fair amount of mentoring and coaching that is provided (called the Executive Sponsor programme).

To increase the flexibility of agencies, the CSRA established a rank-in-person system that gave agencies the authority to assign senior executives to virtually any SES position in an agency, regardless of its hierarchical position within the organisation. The Act also mandated the establishment of programmes to develop candidates for the SES and for the continual development of executives through new learning experiences. The mobility of federal executives turned out to be a difficult issue though given that they were generally not willing to relocate to different parts of the country regardless of the incentives.

To facilitate the mobility of executives, a number of agencies have established mandatory rotation programmes for SES members (the Department of Commerce, for example, emphasises that mobility is a condition of employment and that it will be taken into consideration when granting pay level adjustments). These rotation programmes require senior executives who have served in a position for a certain period of time to transfer to another assignment. This is designed to provide agency heads with a mechanism to optimise executive talents, as well as an opportunity for executives to broaden their perspectives and achieve career enhancement. This has not necessarily taken place to the desired extent partly because there may be too few SES members in a department to make such a programme practical, and SES members may be too specialised or technically oriented to move to other positions.

A 1990 survey by the US Merit Systems Protection Board (MSPB) found that agencies tended to make intra-agency reassignments rather than interagency transfers of senior executives. Agencies also rarely used SES reassignments for career enhancement or skills development purposes. For this reason, in 1993, Al Gore's National Performance Review (NPR) recommended that voluntary mobility within and between agencies be encouraged to provide executives an opportunity to broaden their skills. It was the Volcker Commission in the 1980s that recommended, among other things, that OPM create and support a federal executive development strategy that emphasises leadership training and ability, and gives them the flexibility they need to manage.

The state of executive leadership development in the US SES can be partly gleaned from the 1999 SES survey mentioned earlier. Of the more than 2,500 SES members that were surveyed,

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[8] *Ibid.*

90.6 percent had read technical books or articles; 90.8 percent had read management books or articles; 74.8 percent had attended management conferences; 8.9 percent had had a rotational assignment; and only 1.1 percent had taken a career-related sabbatical. The results indicate that not much use was being made of – or that the SES members were not taking advantage of – the rich source of practical experience that comes from rotating assignments.[9]

Development opportunities for US SES members include the core leadership curriculum which is a series of programmes in supervisory leadership seminar, and management development seminars on leading organisations and leading change. SES also provides programmes designed to enhance assessment skills both related to general management and to executive development. There are, in addition, programmes on focused skills development including on personal leadership (e.g., on 360-degree leadership, executive coaching, etc.), communication and coaching skills, team development skills, and organisational change and innovation skills.

As would be expected, all SES members are also able to access development programmes that are listed under what is called "National Policy Curriculum" which includes seminars and programmes in the dynamics of public policy, executive forums on current issues, management of information technology, etc. This is complemented by customised seminars and consulting (for example, the "leadership for results" programme based on the premise that executives learn critical leadership skills from stretch assignments at work if they consciously reflect on their efforts).

SES members can also access programmes under "Special Services" that includes, for example, the Executive in Residence Programme (ERP). The ERP allows career government executives to serve as visiting full-time faculty members (i.e., as Executives in Residence, EIR) at three residential learning facilities where they share knowledge and experience with rising government leaders, be exposed to a diversity of "cutting edge" training and performance improvement strategies, meet and network with a wide variety of individuals from all government agencies, research and discuss a variety of leadership and management issues, work on special projects for their home agency, and bring new skills and perspectives back to their home agency to improve its programmes and services. After an initial training period, the EIRs are given the opportunity to facilitate Leadership Development Teams, which consist of 8-9 senior executives attending the FEI's four-week residential programme. The second major responsibility of EIRs involves coordinating the entire four-week residential programme, Leadership for a Democratic Society and shorter programmes of FEI's Center for Executive Leadership. Other essential but less frequent responsibilities include: advising and counselling executives in their career track and personal leadership style, and researching and investigating a variety of innovative leadership and management issues. In this manner, these senior managers are able to not only gain a wider understanding of the environment in which they work but also assist their peers and others to learn from their own experiences.

OPM also works with the University of Colorado at Denver to offer the Executive MPA Degree for selected senior-level professionals in the public and non-profit sectors. The programme is designed to be flexible-course work and can be tailored to fit a student's individual needs and career objectives. Various formats of learning are offered, including on-line courses and weekend or weeklong intensive meetings. There is also a fair amount of emphasis that the SES places on executive supervisory skills. A programme designed to enhance these skills (called the "Executive Supervisory Skills" programme) enables participants to assess their roles as coach, counsellor, and mentor while examining leadership

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[9] Further information on the SES survey is available on http://www.opm.gov/ses/survey.html.

preferences and styles. Personnel actions including hiring, discipline, and performance appraisals are also covered as are issues related to diversity in the organisation.

SES has also placed considerable emphasis on enhancing development opportunities for senior managers on "Strategies to Build High Performing Organisations". There are two complementary programmes in this regard: (a) "Performance Driven Organisations" which focuses on the organisational systems and structures necessary to create high performance; and (b) the "Executive as Change Agent" which seeks to provide executives and managers with tools and strategies to lead effective organisational change that results in increased performance (the primary focus here is on the cultural change within the organisation).

Use of Competency Frameworks

In the SES, use is made of competencies ("Executive Core Qualifications" (ECQs)) not only to select new members into the SES but also to serve as the basis for the executive and management development curriculum, and the performance management regime. ECQs date back to 1992 when OPM directed an extensive assessment for identification of competencies for effective leadership. After two years, these were developed into the Leadership Effectiveness Framework comprising 22 competencies. OPM updated this framework with leadership competency models – and best practices – from the private sector, and after piloting the product in 17 agencies, came up with the ECQs in 1997.

Interestingly, the level of education does not appear to be given much formal weight (studies have shown that at the upper levels of the service, it is more the range of experiences rather than the level of education that more directly determines performance).[10] See Table 1 for a list of the ECQs and their associated leadership competencies:

Table 1. Executive Core Qualifications (ECQs) (United States)

ECQs	Associated Leadership Competencies
Leading change	Continual learning, creativity/innovation, external awareness, flexibility, resilience, service motivation, strategic thinking, and vision
Leading people	Conflict management, cultural awareness, integrity/honesty, and team building
Results-driven	Accountability, customer service, decisiveness, entrepreneurship, problem solving, and technical credibility
Business acumen	Financial management, human resources, and technology management
Building coalitions and communications	Influencing/negotiating, interpersonal skills, oral communication, partnership, political savvy, and written communication

Source: Edwards and Gregory (1998); OECD (2000b).

OPM asserts that the ECQs are needed to build a federal corporate culture that drives for results, serves customers, and builds successful teams and coalitions within and outside the organisation. There is general agreement, however, that the "SES has never met its initial objective of becoming an elite cadre which possessed both policy and management skills, and which was able to transport those skills across agency and programme lines".[11]


[10] See Selden and Brewer (*op cit*).
[11] OECD (1999b), p. 21.

The Senior Civil Service in the UK

General Background

The Senior Civil Service (SCS) in the UK – made up of about 3,700 civil servants (or about 0.7 percent of the public sector) – has been in operation (at least formally and in this designation) only since April 1996. It replaced the Senior Open Structure that had about 670 members out of almost half a million public servants (or about 0.13 percent). The SCS is considered "a key cadre of senior people responsible for underpinning collective Cabinet Government, leading management change and preserving the professionalism and values of the public service".[12] The individuals in the SCS are considered to be the corporate glue in an increasingly devolved environment.

By and large, the UK civil service is acknowledged to be too insular and not reflective of the diversity of modern society.[13] At the upper echelons, the figure for females has shown some significant improvement although still below acceptable levels (see Figure 2) – in 2000, it was around 22 percent. A target of 35 percent by 2005 was set in the 1999 *Modernising Government* White Paper. 2.1 percent of staff at SCS level is from ethnic minority backgrounds, an increase from 1.7 percent in 1999 (1.4 in 1989 and 1.6 in 1997); the target for the SCS is 3.2 percent by 2005. By 2004/2005, the government also wants 25 percent of "Top 600" civil servants to be women (from 12.7 percent in 1998), and 3 percent of senior civil servants to be people with disabilities (from 1.5 percent in 1998).[14] As is clearly evident, there is still much that the UK government needs to do in this regard.

Figure 2. Number of Women in the UK SCS (1997-2000)
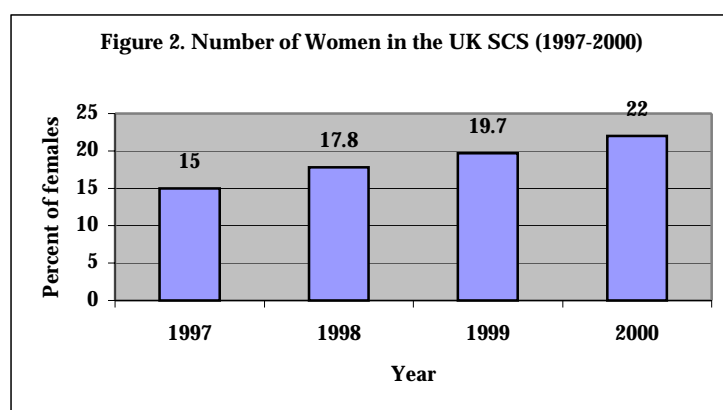
To address the stereotype that the Senior Civil Service is largely male and white, the Cabinet Office is employing outreach workers and specialist advisors to help change attitudes to the organisation amongst minority ethnic and other groups. And in finalising the competency framework for its senior civil servants, the Cabinet Office had three of the 10 workshops on the framework devoted specifically on people from under-represented groups (women, ethnic minorities and disabled people) to establish whether the draft framework adequately reflected their concerns. The Office also consulted the Equal Opportunities Commission, Commission for Racial Equality and Disability Rights Commission as well as independent experts in the field.

As is clear from the figures above, in the UK, "at the more senior levels, the Service remains disproportionately drawn from relatively narrow parts of society and peopled predominantly by those who have spent most of their working lives in the Service, often concentrated in headquarters and policy posts".[15] Those that have come from outside, or who entered in mid-career, or ethnic minorities, are rather rare.

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[12] OECD (*op cit*), p. 8.
[13] Dawson (2000), p. 8.
[14] See http://www.cabinet-office.gov.uk/civilservice-reform/csannualreport/diver/web_00.htm.
[15] See Cabinet Office (1999), p. 5.

To remedy this, the UK government has come up with the "Bringing in and Bringing on Talent" programme that is designed to address the issue in three ways: (a) by improving recruitment practices; (b) by ensuring greater mobility; and (c) by offering enhanced development opportunities. The government also feels that there is need to refresh the Civil Service by bringing in people at the mid-career level from outside and giving them opportunities to get into the SCS. It has also repackaged the Fast Stream Development Programme, and has embarked on a programme to refocus the image of the Civil Service as well as to dispel outdated stereotypes. In the area of wider experience, it is focused on two things: (a) broadening experience of the existing SCS through mobility; and (b) ensuring that those below that level have the right opportunities to develop wider experience to equip them for promotion. The Cabinet Office wants to achieve in 10 years a 10 percent year-on-year increase in open competitions for middle and senior managers across the Civil Service. And by 2005, 65 percent of the SCS will have had experience outside the Civil Service.[16]

Development Opportunities

In the UK, the basis of management development lies in the 1999 *Modernising Government* White Paper that places considerable focus on leadership training. Given the centrality of the role of the Government in the development of a corps of senior managers, the process includes (a) defining what is needed in terms of leaders and then making appointments accordingly; (b) better targeted training programmes; and (c) creating a more open and diverse Civil Service (with the implication that this diversity will reflect at the senior manager level as well).

It is asserted that the government is "not good enough at spotting internal talent and then making the most of it" and that "the Civil Service is also finding it increasingly difficult to attract the best people … into the Service".[17] Towards this end, the Cabinet Office has established a new Public Service Leaders Scheme in which the best of the staff from within the civil service are trained in leadership techniques alongside managers from the wider public sector. The purpose of this training is to ensure that civil service participants learn from others outside the service. The Cabinet Office will also by the end of this year put in place a system of 360-degree feedback that is to be linked to the personal development programmes of the staff members. The assessment here will be against the SCS competencies.

Alongside the work on the competencies (see discussions later), the Cabinet Office has also looked at the defining the type of new leadership the civil service needs. By focusing initially on the top 600 posts in the SCS, it seeks to get a three dimensional picture of the leader of the future. Results seemed to indicate that the primary focus should be on values both of the organisational and personal variety. It is also important to keep in mind that there are various styles of leadership which are useful at different times and that leadership is needed at all levels not just the top. The leadership development strategy being pursued now is intended to achieve five strategic objectives which are set out in the "Bringing in and Bringing on Talent" reform report: (a) provide individuals with the relevant experience on strategic leadership; (b) create a broader-based, more professional SCS with experience outside; (c) spot and develop talent; (d) recruit in mid-career; and, (e) as a result, create a broader, more diverse, base across the whole of the civil service.

Some examples of leadership training in the SCS include the Public Sector Leadership Development Forum brought together by the Centre for Management and Policy Studies

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[16] See Dawson (*op cit*), p. 9.
[17] Dawson (*op cit*), p. 6.

(CMPS);[18] the Public Service Leaders Scheme (the piloting of which started in 2000); and the Careers Research Forum that seeks to create a collaborative approach to leadership development with private sector companies. Other programmes focused at SCS members include a programme for new appointees, the "Trevelyan" programme to provide current SCS members with a chance to refresh, and the "Young Node" programme for newer entrants which matches them with private sector peers for networking purposes. CMPS has also established a programme to support Ministers and senior civil servants in their leadership role (e.g., several discussion forums have been held specifically for Ministers), and it has also developed new leadership programmes in areas such as E-Government.

Within the Civil Service College (CSC), the Executive and Organisational Development Group provides development opportunities to senior civil servants. Recent initiatives on such opportunities to this group of civil servants include the SCS Development Centre, and the Top Managers' Forum. Private sector managers are also invited to participate in the training courses alongside their public sector counterparts. On the other hand, the Senior Civil Service Group (SCSG)'s primary aim is to provide the corporate support and framework necessary to ensure that the management of the SCS fully reflects the Government's objectives, and to carry through a range of development initiatives. In this regard, the SCSG has continued to work on developing succession planning systems for the SCS. The SCSG also manages open competitions for Permanent Secretary and Head of Department posts and ensures that before vacancies at the highest level are filled, the case for open competition is systematically considered (the fact that of the most senior 135 jobs, one third of the occupants won their post in open competition[19] shows that there is a fair level of openness in the SCS).

In terms of mentoring, several senior women have been identified who have agreed to mentor other women progressing through to senior levels of the service. This is a key part of the government programme to enhance diversity and leadership development for women in the SCS. Also in the SCS, an induction course for new members has now been established together with a training route map for their development. At present, a review is being undertaken on how the training framework can be further developed, including ways of increasing networking opportunities (such as through inter-departmental mobility).

The government has also now endorsed the recommendations of the Interchange Panel Report that has broadened its scope to include all sectors of the economy. An Interchange Unit has been established within the Cabinet Office to take forward the Interchange Panel's recommendations and to monitor the performance of departments, and provide advice. The Whitehall and Industry Group (WIG), jointly funded by the Civil Service and private sector companies, is working with the Interchange Unit to offer opportunities to senior and fast-track managers from both the Civil Service and industry to participate in a range of interchange activities. From April 1996 to March 1997, 75 officers came into the SCS from the private sector for short-term secondments; the figure out was almost 300 officers.[20]

Use of Competency Frameworks

The UK Senior Civil Service is now subject to a common performance appraisal system based on a set of core competencies. This competency framework was finalised after several iterations (the first draft was completed in April 2000 with the revised version out seven

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[18] In the UK Cabinet Office, the Centre for Management and Policy Studies (CMPS) is responsible for, among other things, delivering corporate training and development initiatives. The proximity to the seat of power accords the CMPS a unique vantage point to measurably impact development programmes for senior civil servants.

[19] See http://www.cabinet-office.gov.uk/1998/co_report/section3/groups/scsg.htm.

[20] *Ibid.*

months later). It was piloted for validation in 18 agencies. In its essence, the idea is to use the framework to find out what kinds of leadership behaviours and competencies are needed in the leaders of tomorrow and then to assess promising individuals (about 100 of them are invited specifically for a series of leadership challenging workshops; these workshops are complemented by a series of psychometric assessments designed to give the selectors a better idea of the match between the competencies and the individuals). The aim is to develop a leadership profile for each promising candidate so that individual-specific training and development interventions can be made down the road.

This is further put into context by the fact that the SCS members are expected to have gained a broad range of experiences and outlook (not only through mobility within and interchange outside but also through ensuring right opportunities for those below to equip themselves for promotion). This sort of direct intervention by the government in the development of leaders is rather unique to the UK although other jurisdictions, such as Singapore, have also developed a similar system. The competencies for SCS executives are shown in Table 2:

Table 2. Senior Civil Service Competence Framework (United Kingdom)

Competence	Key attributes
Giving purpose and direction	Creating and communicating a vision of the future
Making a personal impact	Showing the way forward; leading by example
Getting the best from people	Inspiring people to give their best
Learning and improving	Drawing on experiences and new ideas to improve results
Thinking strategically	Harnessing ideas and opportunities to achieve goals
Focusing on delivery/outcomes	Achieving VFM (value-for-money) and results

Source: http://www.cabinet-office.gov.uk/civilservice/performanceandreward/documents/scscomp.pdf (date of access: 23/01/2001).

As mentioned earlier, this is but the latest iteration of the competencies in use in the UK Senior Civil Service. Each competency is characterised by effective and ineffective behaviours and these are used by senior managers as cues on how to go about doing their work. The categorisation of behaviours also helps those involved in managing the senior officers.

The Dutch Senior Public Service

General Background

The Dutch Senior Public Service (SPS) was formally established in 1995 with the objective to ensure professionalism, integrity and quality standards in the public service. Originally with a size of about 360 staff members, the pool of senior managers included in the SPS is now around 800. Unlike the senior public services in some other jurisdictions (such as the *Grand Corps* in France and the British Civil Service), the Dutch SPS is characterised by an open-ended and purely merit-based system. In terms of the career paths of senior civil servants, it is clear that in the Netherlands, each staff member is largely responsible for his her own career.

It is interesting to note that the Dutch SPS is compulsory in nature as reflected in the following features:[21]

- the obligation to report all vacancies in scales 17 and above;

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[21] See Ministry of the Interior (1996), p. 15.

- the need to reach agreement with the Minister of the Interior or the Prime Minister on appointments; and

- the fact that details of all civil servants in scales 17 and above are automatically entered into the Intertop System (the electronic database that contains the career details of all senior managers).

The SPS is managed by the Office of the Senior Public Service located in the Ministry of the Interior and Kingdom Relations. In particular, the Office is responsible for developing, facilitating, and coordinating a professional approach to personnel development for this group. At the time of the creation of the SPS, only those in scales 17 and above (i.e., sectoral managers such as heads of policy boards, research institutes, etc.) were included in the SPS. As of January 2000, this was extended downwards to include scale 16 too (i.e., operational managers such as heads of staff directorates, project managers, etc.), and from January 2001, this has further extended to scale 15 (i.e., specialist managers such as consultants, coordinators of projects, etc.).

In terms of diversity, the Office of the SPS has highlighted very strongly the fact that it should seriously strengthen its policy regarding the position of female employees showing potential, but statistics to date show very little progress on this front. The percent of female SPS members has had a historically low trend, and in 1999 (the latest year for which figures are officially available) was still at 12 percent only.[22] The statistics relating to SPS appointments also show a historical low trend (see Figure 3 and also Table 3).

Figure 3. Level of Female Appointments in the Dutch SPS (1996-1999)
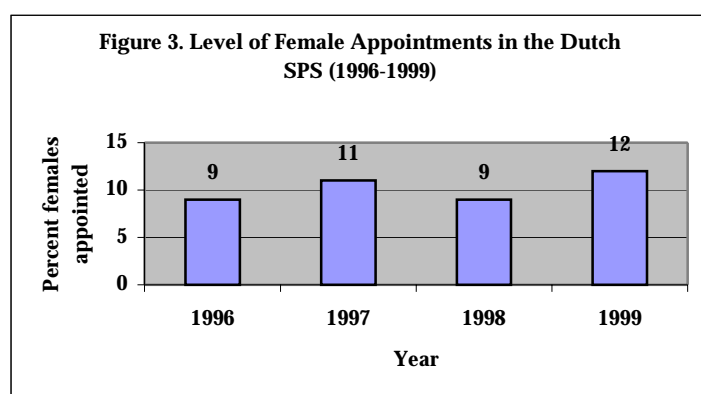
In terms of openness, however, there does seem to be some improvement. As is evident in Table 3, the number of external appointments (i.e., from outside the civil service) has tended to show an increase although the trend is not evident in 1999. And in terms of minorities, in 1999, there were only seven members of ethnic minorities in the Dutch SPS (this works out to about 2 percent of the total SPS).[23] To its credit, however, the SPS Office has cooperated on a mainstreaming project (set up by the Catholic University of Leuven in Belgium) to produce a manual for taking into consideration gender neutrality in all phases of the policy cycle.

Table 3. Level of Appointments of Females and Externals to the Dutch SPS (1996-1999)

Year	Percent females appointed	Percent of external appointments
1996	9	9
1997	11	24
1998	9	35
1999	12	16

Source: Office of the SPS (1999), p. 11.

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[22] See Office of the SPS (1999), p. 8.
[23] *Op cit*, p. 25.

In the Netherlands, there is focus on seeking investments from heads of departments who must buy into the senior management development system. As a matter of fact, there has been considerable debate on making the permanent secretaries in departments own the SMD programme. However, while many are reported to have identified themselves with the objectives of the Senior Public Service, they also continue to think and act on the basis of the interests of their own ministries.

Development Opportunities

The Office of the SPS has highlighted the fact that it should strengthen conditions that must be met at the ministerial level for proper management development of the senior cadre. There are annual meetings dedicated specifically to the issue of management development of senior personnel at which time all senior managers are considered individually. Questions that are considered revolve around the current assessment of individual potential, which staff may sooner or later run into problems, who are those with high potential, and whether or not agreements regarding training have been met. These meetings then set the tone for the need for management development in the upper echelons of the Dutch SPS.

The Office of the SPS also plays the role of a broker and a head-hunter when it comes to enhancing the fit between senior managers and various development opportunities. For example, it identifies several candidates for any particular opening and encourages the individuals to make an application. Given that many individuals may not necessarily want to make a move, the Office takes it as a challenge to encourage these individuals to express their interest. Information on the candidates and their career drives comes from the Intertop System as well as from the periodic career planning interviews that the Office holds with SPS members. In this way, the SPS Office sees itself as being independent of the ministries putting forward candidates who may not be the best.

This brokering function itself is manifest from the work of the career counsellors that the SPS Office relies on to get information on the members' career aspirations. All counsellors have line-management experience and are in a good position to provide counselling services. They talk to each SPS member once every 12 to 18 months at which time they cover such areas as individual expectations, training requirements, and coaching needs, including keeping track of their development.

The emphasis here is always on the mobility of the senior manager. This mobility is manifest in three directions: horizontal (i.e., across agencies but at the same level); vertical (i.e., across agencies or within one but upwards, denoting a promotion); and mental (i.e., commensurate with a horizontal and/or vertical move there must also be a mindset change in the senior manager when it comes to the individual's approach to work). It is the final form of mobility that the Government seeks to enhance. The mental mobility is facilitated through training, individual coaching, overseas secondments, temporary job exchanges, participation in joint projects, etc. Another technique that the Government seems to favour is the use of task forces and the creation of a team of senior managers to tackle a given issue, learn from that exercise, and then disband.

Starting in 2000, a new rule has been in place in the Dutch SPS wherein it is compulsory for senior civil servants in scale 19 (i.e., Secretaries-General and Directors-General) to be physically mobile. They are now employees of the Ministry of the Interior and Kingdom Relations and their assignment to other ministries is considered temporary. They are obliged to move to a new position every five to seven years. In terms of physical mobility, the Office of the SPS has also entered into agreement with other jurisdictions (such as municipalities,

including in 1998 the City of The Hague, and international organisations such as the European Union) to facilitate the exchange of senior managers.

There is also a joint venture with the Danish School of Public Administration to present opportunities to senior managers for participation in two European courses: "Crossing the Boundaries" (intended for senior women managers) and "Management Programme Europe". Coaching is also actively encouraged in the Dutch SPS. The number of senior managers using a coach – or "sparring partner" – has increased rapidly in recent years.[24] The SPS Office has recently engaged a number of well-established external coaches and SPS members get to choose their sparring partners. About 25 to 30 SPS members consulted a coach in 1999 through the mediation of the SPS Office. The SPS Office has also arranged lunch and afternoon meetings (called mini-conferences) for members of the target group. These mini-conferences are designed to give senior civil servants an opportunity to familiarise themselves with developments taking place outside their own ministries.

From the beginning, the SPS has based its management development policy on the concept of the right person in the right place at the right time. There are two aspects to management development that are evident in the Dutch SPS: (a) the organisational set-up with its structure of individual positions, and (b) (future) jobholders and their potential for development. A major part of the management development policy of the SPS is implemented on the basis of competencies which is our focus next.

Use of Competency Frameworks

The competencies for SPS members in scales 17 and above which were finalised in 1999 were supplemented with the addition of scale 16. The original 28 competencies grouped in seven clusters were then extended to 42.[25] In addition, individual agencies are allowed to complement, if necessary, this set with skills deemed relevant in view of the uniqueness of their own work. The original seven clusters are in areas such as governance, problem solving, interpersonal behaviour, and sensitivity (see Table 4). The expanded version of these skill sets has re-categorised the seven clusters and specified in greater detail the behavioural aspects of all SPS competencies.[26] The overriding attribute seen in these competencies is that there is much more specificity than that evident in other countries (such as the UK). The government is hopeful that this will provide better tools in the identification, recruitment, and development of public sector executives.

Table 4. Competencies for Senior Managers (the Netherlands)

Cluster	Competencies
Coherent governance	Vision of the future, target orientation, networking skills, leadership
Problem solving	Information analysis, judgement, conceptual flexibility, resoluteness of purpose
Interpersonal behaviour	Listening skills, interpersonal sensitivity, flexible behaviour, collaborative skills
Operational effectiveness	Initiative, control, delegation, fast interplay
Impact	Oral communication, self-confidence, convincing power, tenacity
Resilience	Energy, stress resistance, performance motivation, learning capacity
Governance sensitivity	Environmental awareness, governance affinity, integrity, dedication

Source: adapted from Hondeghem and Vandermeulen (2000); and Office of the Senior
Public Service (2000).

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[24] Office of the SPS (1999), p. 19.
[25] See Hondeghem and Vandermeulen (2000).
[26] For greater detail, see Office of the Senior Public Service (2000).

It is relevant to note here that while just as elsewhere, in the Netherlands too there is impetus from the centre in the development of the competency framework, there appears to be more focus on seeking investments from heads of departments who must buy into the system.

The Senior Executive Service in Australia (Commonwealth)

General Background

The Australian Senior Executive Service (SES) was created in 1984 and the Public Service and Merit Protection Commission (PS&MPC) is charged with ensuring its success. Adoption of the SES in Australia was based in large part on the US SES which had been set up a mere six years earlier.[27] And as with the US SES, the premise underlying the introduction of the senior executive service in Australia was that there are no significant differences between executives in the public and private sectors; hence, public sector executives should be managed similarly. This was naturally extended to asserting that "public sector performance could be improved by linking it with pecuniary rewards and sanctions in the context of a formal performance appraisal system, and that, in following the principle of management autonomy, the "best" managers needed to be recruited for the sector".[28]

In the early 1990s, the SES numbered approximately 1,600 officers (or about 1 percent of the total number of federal-level public servants in Australia).[29] This figure is now over 1.6 percent and the number of SES members has also increased to a little over 1,770 in 2000. The SES was intended to be a very flexible service and one where executive skills of senior and promising civil servants would be developed. It was also designed to serve as a service meant for all the agencies of the Public Service and not only as a sub-corps of super executives restricted only to their respective departments. Finally, the "desired "new style" of management was for managers to be freed from many of the procedural constraints which had resulted in past "bureaucratic" behaviour, and to operate more independently from central agencies".[30]

The figure for females in the upper echelon of the public service is around 26 percent in the Commonwealth SES (see Figure 4)[31] (the target was 30 percent by 2001). On the other hand, representation levels of minorities in the SES have been described as being "static".[32] Information is available only for indigenous Australians and the picture is not very encouraging (the figures show a movement of 0.7 percent in 1991, 1.3 percent in 1999, and 1.2 percent in 2000). For people with non-English speaking backgrounds, the figures were 2.9 percent in 1991, 3.6 percent in 1999, and 3.9 percent in 2000.[33] The SES median age in 1999-2000 was computed to be 48 years[34] which shows the need for the government to bring in new blood into the upper echelons.

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[27] Victoria was the first Australian state to introduce the SES in its bureaucracy in 1981; the other states followed much later (e.g., Western Australia in 1987, New South Wales in 1988, and Queensland in 1990). For a review of the SES practices of these and other states in Australia, see, for example, Coaldrake and Whitton (1996).

[28] Lamond (1991), p. 505.

[29] See Jabes, et al (1992), p. 5. In contrast, at the time of creation, the percent of senior public servants in the Canadian federal government was 2 percent, and in the UK 0.5 percent (see Raadschelders and van der Meer (1998), p. 16).

[30] See Jabes, et al (*op cit*), p. 6.

[31] See PS&MPC, *SES News*, Issue no. 8, November 2000, p. 8.

[32] See http://www.psmpc.gov.au/about/workplacediversity99.pdf.

[33] The figures are averages of two types of people from non-English speaking backgrounds (see http://www.psmpc.gov.au/about/workplacediversity99.pdf).

[34] See http://www.psmpc.gov.au/about/workplacediversity99.pdf.

Figure 4. Number of Women in the Australian SES (various years)

Percent of females / Year

Year	Percent
1994	13
1997	21
1999	24.9
2000	26.1
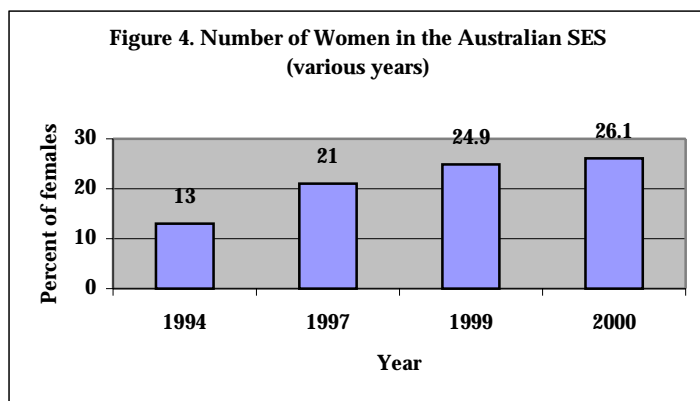
Development Opportunities

In Australia, the PS&MPC makes use of a Development Prospectus to outline what it calls a "suite" of development opportunities to senior managers. For example, in December 1999 it launched the Senior Executive Development Prospectus 2000 that outlined 32 SES leadership and development programmes, courses and seminars. The suite includes core programmes (which correspond to key points in the career development of senior managers), and a wide range of targeted seminars and courses that address specific skills. In recognition of the pressures of time on senior managers, recent programmes have tended to include more short-term practical courses, and residential components have been kept to a minimum. PS&MPC also puts on offer programmes that place strong emphasis on real life challenges and projects in meeting development needs.

The development opportunities available to senior executives in the Commonwealth SES in Australia are considerable. Some of the main ones include:[35]

- Executive Leadership Development Programme – consists of a number of modules over eight days including a three-day residential component. An integral part of this is work on a major project of immediate relevance to the Australian Public Service;

- Sustaining the Leadership Contribution – provides opportunity for experienced senior executives to refresh the skills and knowledge they need to do their work well. The programme includes a review of key leadership behaviours, and the development of skills and strategies to increase personal effectiveness;

- Senior Executive Fellowships – aimed at SES staff that has at least five years of service to allow them to pursue a course of study not normally available within Australia for a period of up to three months;

- Executive Coach and Mentor – Participants learn how to create the opportunities that will help their staff to learn and perform more effectively. Participants are also able to gain skills and use techniques in questioning and listening in ways that enable people to understand and learn more quickly;

- Career Development Assessment Centre – The Senior Executive Leadership Capability Framework (SELCF; discussed later) formed the basis for the development of this Centre which is designed to provide high potential staff members with specific and reliable feedback about their strengths and development needs and to assist them to develop further in areas of relative weakness. Of particular use in the Centre is a 360° feedback questionnaire custom-built around capabilities, which provides feedback from the workplace on participants' strengths and development needs in relation to the Leadership Framework;

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[35] See the *Public Service Commissioner Annual Report 1999-00* (Appendix J: Learning and development opportunities) for further information (www.psmpc.gov.au).

- Courses and Seminars – PS&MPC also presents regular SES Breakfast and Lunchtime Seminars that provide senior executives with a forum to hear and interact with leading speakers on contemporary issues; and

- Senior Women in Management Programme – This is a nine-month development programme that aims to provide personal and leadership development opportunities to senior women managers through high quality coursework and mentoring complemented by challenging work placements and group projects.

Finally, a Senior Executive Advisor is available to assist SES employees in addressing any issue they may be facing. An important component of the activities of the Advisor is support for displaced SES employees particularly in the areas of placement opportunities, counselling services, and redeployment and retirement options.

Use of Competency Frameworks

The literature is ample on competencies as well as leadership in both the Australian federal and state level public sectors.[36] While the Australian SES was created in 1984, a new Senior Executive Leadership Capability Framework (SELCF) was introduced only in 1999 to replace the prevalent SES selection criteria. The SELCF has been described as a strong tool for development and planning in relation to the senior executives. It starts by identifying the behaviours that Public Service leaders would need to exhibit to guide their organisations towards higher performance. The capabilities described in the SELCF (see Table 5) show a remarkable level of similarity with the ECQs in the US SES. The competencies can be expanded according to individual agency requirements; this flexibility enables the departments to tailor selection and performance criteria to meet their own needs.

Table 5. Senior Executive Leadership Capability Framework (Australia)

Competence	Discussion
Shaping strategic thinking	Including inspiring a sense of purpose and direction, focusing strategically, harnessing information and opportunities, showing judgement and common sense
Achieving results	Including building organisational capability and responsiveness, marshalling professional expertise, steering and implementing change, and ensuring closure and delivering intended results
Cultivating productive working relationships	Including nurturing internal and external relationships, facilitating partnerships, valuing individual differences and diversity, and guiding, mentoring, and developing people
Exemplifying personal drive and integrity	Including demonstrating public service professionalism and probity, engaging risk and showing personal courage, displaying resilience, and demonstrating self-awareness and a commitment to personal development
Communicating with influence	Including communicating clearly, listening, understanding and adapting to audience, and negotiating persuasively

Source: http://www.psmpc.gov.au/media/ministerspeech19may.htm; (date of access: 23/01/2001).

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[36] See, for example, Ives (1995), Mascarenhas (1993, 1990), Coaldrake and Whitton (1996), Halligan and Power (1991), Curnow (1998), Attridge (1991), Baker (1989), Morley and Vilkinas (1997), Hunt and Wallace (1997), and Renfrow, Hede, and Lamond (1998).

Morley and Vilkinas point out that two significant competencies that are missing here are complexity and relationship to politics.[37] However, the PS&MPC takes great pride in saying that the SELCF has been home-grown and that it allows for a considerable degree of flexibility. The literature reveals that Australians – at least in the private sector – have tended to follow the UK model of competencies (which uses competencies as characteristics required for adequate performance) over the US model (which uses competencies as indicators of superior performance). It is necessary to add that the various state jurisdictions have also actively experimented with competency frameworks and have drawn heavily from the experiences of jurisdictions such as the US and the UK.[38]

Emergent Themes in the Management of Senior Public Services

Drawing from, and expanding upon, the country experiences in the management of senior public services, it is evident that in the 1990s, the most important changes that took place across the jurisdictions in this area included:[39]

- a stronger emphasis on management skills and competencies rather than specialist skills;

- changes in recruitment and appointment procedures which largely tended to broaden access to the senior public service;

- greater attention to career management and development of senior public servants; and

- an increased concern on the diversity issue whereby more attention was placed on bringing in more women and those of ethnic minorities into the upper echelon of the public service.

A comprehensive literature review of existing SMD initiatives and practices across jurisdictions highlights several themes, key among them being:[40] (a) locus of impetus and ownership; (b) techniques and contents of leadership training; (c) use of competency frameworks; and (d) the broader environment, including diversity and openness (see also Annex II).

Locus of Impetus and Ownership

In practically all the jurisdictions, the locus of impetus for SMD is at the centre (i.e., in a key government agency). In Singapore and Hungary, it is the Prime Minister's Office; in South Korea, the recently-created Civil Service Commission with strong backing from the Office of the Prime Minister; in the USA, it is the Office of Executive Resources Management within the Office of Personnel Management; in Australia, it is the central and high-profile Public Service and Merit Protection Commission; in Japan, the statutory, independent, and very powerful central-level National Personnel Authority; in France, the Inter-ministerial Delegation for State Reform; and in Sweden, the recently-established National Council for Quality and Development whose main task is to identify potential leaders in the public service.

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[37] Morley and Vilkinas (*op cit*), p. 412.
[38] For a comprehensive discussion on competency frameworks in the Australian Public Service (both at the Commonwealth and state levels), see Morley and Vilkinas (*op cit*)).
[39] See OECD (1997), p. 13.
[40] For a broad review of the senior public services in developed countries, see, for example, OECD (1997, 1999b, 2000b); and although a bit dated, see also Hede (1991).

The interventions from these offices range from direct government involvement in the identification and development of candidates to a minimum of government facilitation of the process. The latter has been particularly evident in the creation of a central database of all current and potential senior managers in many of these countries. The database is designed to cue the planners on who stands where in terms of career development. Such a database and centralised system exists in France, Australia, the Netherlands, the United Kingdom, and South Korea where it was recently introduced.

Practically all OECD countries have specialised institutions created to enhance leadership and management training. They have all put strong emphasis on training in developing leaders. Some have established new training courses for top executives or senior managers. In the UK and Singapore, as key examples, the governments have taken a particularly active role in developing a corps of senior managers and targeting these high-flyers (i.e., those on the fast stream) from the very beginning of their careers in the public service. In Singapore, some are targeted even earlier (i.e., when they are about to enter university). Germany and Finland, on the other hand, do not have this system of targeting and instead look at the potential of the managers as a key factor.

In Canada, the high-powered Canadian Centre for Management Development (CCMD), formed in 1988 and made into a departmental corporation in 1991, helps ensure the development of managers. The Centre is directly under the responsibility of the Prime Minister and is managed by a President who has the rank of a deputy minister. This proximity to the prime minister enables the CCMD to carry considerable weight in the area of management development in the public service. It is also staffed largely by people who have had practitioner experiences.

Despite the central locus of impetus of SMD, however, even in countries with centrally directed senior executive services, there is a fair amount of latitude given to the inputs of individual departments in the determination of the nature of the development programme (as we have seen, this is evident in Australia and the Netherlands, among others). There is yet another side to the issue of ownership of development programmes: that of access to opportunities. Given that development does not comprise training alone (and at the senior management level, there is indeed less scope for such pure methods), the central agencies tend to be more aggressive in identifying and promoting secondment and other opportunities so that designated and targeted senior managers can avail themselves of other learning experiences.

Techniques and Contents of Leadership Training

The literature on leadership training, in general, and on senior management development, in particular, is rather diverse and rich and spans several jurisdictions primarily among them the OECD countries. Within the literature, there are two commonly identified approaches to SMD and leadership training broadly referred to as "Individual Management Development" (or "traditional paradigm") and "Organisational Management Development" (or "new paradigm"). The former involves the fast-track development of a group of selected individuals who are "high-flyers" and are tagged at an early stage to become managers (this is evident in countries such as Singapore and the UK). These managers are given structured experiences to more quickly develop the skills needed to become senior managers. Fast-track programmes typically employ developmental tactics including advanced professional educational experiences, executive mentoring and coaching, specific skills training, and accelerated rotation through job assignments. The new paradigm (evident in Germany, for example) involves developing all managers for the overall development of the organisation. With respect to the constituent elements of management development, many organisations

tend to focus on the provision of training and academic courses. The general appeal here seems to be that classroom activities as developmental interventions are more tangible and operationalisable than on-the-job (OJT) experiences. Yet the most impactful key features of leadership development programmes are precisely OJT experiences, 360-degree feedback, and mentoring/coaching; formal courses are far below the list.[41]

For its part, mentoring has been in place for a long time now in countries such as Japan (note the rather formalised set of *Senpai-Konhai* relationships in the civil service) and Singapore (where each new Administrative Service officer is assigned a mentor "who can offer friendly advice and show you the ropes").[42] The Netherlands and Iceland have now adopted the "coaching and counselling" methods for current and potential leaders in conjunction with private sector leaders. In Iceland and Denmark, the governments help leaders to organise and maintain networks among themselves to foster a sense of camaraderie. In the Queensland Public Service in Australia, the state government has created – and aggressively supported – what it calls "mentoring/coaching cells" in government departments where senior managers enter mentor/coach relationships in groups of three or four.

Compared to mentoring, however, the general consensus on the most effective initiatives for SMD is that of "on-the-job" experiences. Several specific experiences have been isolated as being particularly helpful in contributing toward management development. This raises the possibility of targeting particular experiences, although the literature also says that it is up to the individuals concerned to provide the impetus for development (i.e., to put their hand up for targeting).

Numerous countries have also in one way or other formalised some way of bringing in the private sector in the development of their senior managers. The underlying assumption here is that at the level of the senior managers the competencies that are sought after really do tend to transcend any sector and so there would be a fair amount of cross-sectoral pollination of ideas should there be participants from both the sectors. An effective training programme that has been practised widely in countries such as Singapore and Japan is that of placement of leaders in external organisations (e.g., in Singapore, they are placed in the private sector and grassroots community level organisations). In Japan, even directors at the headquarters level (grades 10 and 11 in Administrative Service I meant for fast streamers) attend training programmes in the private sector complemented by the *Jinjiin* Active Middle-age Programme and the Administrative Executive Forum (the latter is meant for top executives of all ministries and agencies). A law is now in effect that allows for personnel exchange between the national government and private enterprises (the law was passed in December 1999). In the Queensland Public Service in Australia, there is considerable emphasis on "experiential development" where senior managers are given an opportunity to be involved in a nine-day experiential development programme off-the-job. Private sector senior executives are also a part of the programme and this gives public sector executives an opportunity to network and learn.

Germany has developed a four-phase system of leadership training. Training is received not on individual specific courses but on an integrated package of courses that serve to build upon each other and that contribute to enhancement of the competencies of the staff member. Participation in specific training programmes within certain periods is mandatory and linked

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[41] See Giber, Carter, and Goldsmith (2000), p. xiv; Olivero, Bane, and Kopelman (1997) come to a similar conclusion and assert that executive coaching has much more impact on productivity in a public agency than training alone (coaching includes: goal setting, collaborative problem solving, practice, feedback, supervisory involvement, evaluation of end-results, and public presentation (p. 461)). See also Management Advisory Board/Management Improvement Advisory Committee (1992), *Staff Survey Report* (Canberra: AGPS), p. 40.

[42] See http://www.gov.sg/psd/adminsvc/ao/main.htm.

to personnel decisions including that on promotion. This is in the context of lack of a formal procedure of identification of potential leaders from the very beginning (unlike that in the UK, for example). There is also a focus on training senior staff members to be generalists. The Federal Academy for Public Administration (FAPA) plays a key role in the development of future leaders who have to take part in an obligatory training programme. At the *lander* level (state jurisdictions), the role of the central training agency is taken over by institutions such as the Leadership Academy, Baden-Wurtembuerg, and the Civil Service Leadership College, Speyer. The nature of the training received by these leaders ranges from basic coursework in-house to coaching by mentors higher up.

A key element of success in training programmes (at any level but particularly so at the upper echelon) appears to be that of feedback. A consistent and impartial feedback process resulting from the training programme – and one that encompasses more than one time period – is likely to give the participants a greater sense of making use of the skills learnt during the training phase. In this regard, several countries (such as Germany, the UK, Australia, and the USA) are beginning to take greater recourse to the 360-degree feedback mechanism. Other countries such as Japan, Korea, and Singapore – given the rather rigid hierarchical nature of their organisational cultures – have by and large tended to shy away from this method.

All countries, with a few notable exceptions, have – at least on paper – some degree of openness designed to bring in capable individuals from the private sector into the senior ranks. But practice has tended to vary widely from intent. The extent of this has been muted in countries such as Singapore (where only three out of almost 275 senior staff members come from the private sector)[43] and in Japan (where it is unheard of to have an outsider come into the top echelons of the civil service). In South Korea, as of May 1999 and as part of its new Open Personnel System, a full 20 percent of the senior civil service is now mandated to be from outside the service (the original recommendation by the group of 130 private sector managers was to make this figure 30 percent). In France, targeted individuals that graduate from the prestigious *Ecole Nationale d'Administration* (ENA) are encouraged to join the private sector to broaden their horizons and skills base. This has resulted in an elite group of ENA-graduates who are primed for leadership positions in the public sector and who in turn are very aware of how the private sector works.[44]

Mobility and job rotation is also emphasised in the literature as a way of getting the senior civil servants to enhance their skills base (this mobility, however, invariably takes place after the candidate has completed a probationary period which in Australia, for example, is normally six months and in the US one year). In some jurisdictions (such as Denmark) there are formal mobility programmes while in others (such as Japan) job rotation has been conventionally encouraged as a way to develop high flyers. In Sweden, there is a policy that heads of government agencies should not normally head the same agency for any great length of time, and in France, senior civil servants are statutorily obliged to change jobs within their first four years. Similarly in Germany, mobility within the overall civil service system of

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[43] Speech by Mr. Eddie Teo, Permanent Secretary, Prime Minister's Office, at the 12th Administrative Service Dinner on 27th March 2000, Shangri-la Hotel, Singapore (http://app.internet.gov.sg/scripts/psd/pau/news); date of access: 23 January 2001.

[44] Since 1998, the Government has also placed emphasis on several measures designed to better manage senior administrators, including forward management of jobs; more diverse recruitment in order to correct uniformity in the background and attitudes of senior managers; more diverse professional experiences (e.g., in the European Union); continuing occupational training; continued development of inter-ministerial training at the deconcentrated level; and inter-ministerial continuing training cycle (e.g., on HRM, management control, implementation of inter-ministerial policies, etc.). Finally, in order to encourage mobility, a policy of training-mobility leave was instituted to supplement existing schemes related to continuing training (see http://www.oecd.org/puma/gvrnance/surveys/report98/surv98fr.htm#E).

Bundes, lander, and local governments is relatively high.[45] This mobility also includes placement of leaders (both at the *Bundes* (federal) and the *Lander* (state) levels) in external organisations (in the private sector as well as in international organisations). The underlying premise is that the longer an individual stays in one position, the greater danger there is of an ossification of his/her skills base. Other reasons why most countries put considerable emphasis on mobility for senior civil servants include: (a) professional development of the officers; (b) opportunity to import new ideas into the Public Service as a whole; (c) improvement of cooperation among public service organisations; and (d) the development of a Public Service-wide culture.

Use of Competency Frameworks

Any model of managerial skills, qualities and other attributes contains three key aspects: knowledge, skills and abilities. In order to more accurately select managers, organisations are increasingly relying on specifying the competencies required of managers. This has thus raised the question of how managers acquire their competences. While practically all countries have in place some form of a competency framework, Australia, the UK, and the USA (along with some regional jurisdictions such as the Government of New South Wales in Australia) seem to have done the most work in developing competency frameworks for their senior managers. These countries have rather tightly specified competency frameworks while others such as Germany and Finland have loosely specified ones.

Other countries active in employing competency frameworks include Finland, Germany, and Canada. Finland has a loose competency framework and places more emphasis on determining the potential of individuals so that the group targeted for leadership positions in the public sector tends to be in constant metamorphosis. This is particularly seen to be useful as the competency framework includes not only what is called the "selection perspective" (i.e., the skills that one has at the time of selection) but also a "development perspective" (i.e., that the skills than an individual needs to be an effective leader can actually be acquired over time) and so there is greater need to keep an eye on them by managers. It is for this purpose that individual departments need to own their development programmes.

In Germany at the federal level, there is a set of competencies that has been identified as being central to the proper development of senior managers. The competency framework appears to be more watered down, however, as compared to other countries. In particular, the competency framework is centred around seven key areas:[46]

- capability to comprehend;

- capability to make sound judgements and to think;

- capability to make decisions and to assert oneself;

- capability to do conceptual work;

- ability to put up with stress;

- ability to express orally and in writing; and

- organisational skills.

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[45] See Derlien (1991), pp. 394-395.
[46] See Vollmuth (*op cit*).

Superimposed in this loose amalgamation of competencies is that of "soft skills" (i.e., social, strategic and change management competencies that enable managers to think in terms of network structures and to guide and motivate their staff towards results-oriented work through a co-operative leadership style).

Canada has a rather rigid framework in place where the competences specified in 1996 have been since then been reviewed but not substantially altered. There are five clusters of competences that are considered relevant for senior managers: intellectual, future-building, management, relationship, and personal. Each cluster has specific competencies that have been identified including creativity, interpersonal communication, ethics, stamina, and stress resistance. The predecessor to these competencies (the so-called "core qualifications" of the late 1980s) had identified twelve elements: integrity, behavioural flexibility, independence, initiative, perseverance, judgement, thinking skills, organisational awareness, interpersonal relations, leadership, communication, and action management.[47]

Other countries have not necessarily gone as far as the Europeans (primarily the north Europeans) on the extensive design and employment of competency frameworks in the public sector. In the rather traditional system of personnel management in Japan, for example, it is only now that the all-powerful National Personnel Authority (NPA) has required top executives to upgrade their professional skills and capacities as policy planners and coordinators and to improve their competencies as leaders as well as managers of social change. Towards this end, the NPA has introduced some new training courses for top executives in ministries and agencies to enable them to respond effectively to the rapidly changing social and economic environment (one of them being the Administrative Executive Forum in 1999 for top executives who are non-political appointees). NPA has, however, yet to publicly profess reliance on a competency framework for senior managers.

In Singapore, the Administrative Service members (less than 275 out of a total public sector labour force of about 64,000) hold key positions in government ministries and major statutory bodies. They are specifically regarded as leaders in the public sector and are encouraged to actively think ahead, and anticipate and analyse problems. Competencies for an Administrative Service position include intellectual ability (almost all of the members will have had an opportunity to have been trained in the best institutions in the world); good people skills; imagination and initiative; sound judgement; a capacity to think clearly; and act decisively amidst the uncertainties and complexities of real life.[48]

In Poland, which instituted policies to establish a Senior Civil Service in 1996 (called Category A of the Civil Service), the following competencies, among others, are specified for its senior officers: ability to manage complex teams and take decisions, be creative, and possess capacity to manage financial and material resource and data. Other formal requirements include: higher education, command of at least one foreign language, and a minimum of seven years of work experience including four years in a managerial or "independent" position.[49] There is some degree of openness in the system since applicants are not required to demonstrate previous work experience in the civil service. The purpose of introducing a minimum length of work experience is to "ensure a certain level of decision-making maturity, supported by professional experience in positions with a high degree of responsibility".[50]

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[47] Hede (*op cit*), p. 494.

[48] See http://www.gov.sg/psd/adminsvc/ao/main.htm.

[49] "Poland's New Civil Service Law: Provisions for the Highest Levels," *Public Management Forum*, vol. III, no. 2, 1997 (http://www.oecd.org/puma/sigmaweb/pmf/3PMF2/32pmf10.htm).

[50] *Ibid.*

In terms of regional jurisdictions, the SES competency framework in New South Wales in Australia specifies nine core competencies with each having sub-sets of its own. They are:

- communication and interpersonal effectiveness;

- managing interpersonal relations;

- facilitating workforce effectiveness;

- change management;

- achieving results;

- organisational context and environment astuteness;

- strategic thinking and planning;

- managing customer and stakeholder relationships; and

- leadership.

In Western Australia, the selection of members to the SES is based on skills criteria that revolve around areas including leadership, people management, management of physical and human resources, policy and strategic development, and achievement of outcomes. While this is not necessarily a formal competency framework, it does give insights into the general nature of the competencies that the state government is looking for in its senior managers.

The Broader Environment including Diversity and Openness

It is relevant to bring into the picture here the broader macro environment while talking of the senior public service. By and large, in all the countries, senior managers are meant to play a key role in policy advice but in countries such as the USA where political appointments at the upper echelons of government take place, there appears to be not that big a room for senior managers to play that role.[51] One key reason for this is the negative perception of the latter towards the former since the 1978 Civil Service Reform Act did allow for career SES officers to rise to assistant secretary level but conventionally these positions have been filled by the president which means there is little room for these senior officers to move up to the top.

A similar worry is being voiced in the UK where Tony Blair has now so popularised the role of political advisors and where greater accountability to ministers has led to more public criticism from parliamentary select committees. In Australia, John Howard has had to deal very firmly with the senior echelons of the federal public service who he feels are not making efforts to buy into government policy.[52] As a matter of fact, Australia has been described as having the "most "political" of Anglo-Saxon systems because of the consistent influence of

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[51] This is reflected in the results put forth by Huddleston (2000) who says that the SES members in the USA have not really been motivated beyond the extent of monetary compensation. And even then, they are constrained by the wage increase policy of Congress since the pay rise of the SES has to be in consonance with that of the legislators and the pay range can be very narrow because of the Congressional pay ceiling. Huddleston further concludes that the SES never really did live up to its original expectations (i.e., to constitute a government-wide corps of senior executives, high-performing generalist managers who would be flexible, responsive and mobile). Studies also show that there never really has been good chemistry between the political appointees and the career SES officers (see Perry and Miller (1991); see also Aberbach and Rockman (1997), and Wilson (1999)).

[52] See, for example, Brenchley (2001); also Mulgan (1998). For a cogent discussion of the politics of the SES in Australia written from the perspectives of a SES insider, see also Hall-Taylor (2000).

political actors".[53] In Japan, the politicians have at long last begun to fight back against the power of the top echelon civil servants who have for a long time taken over the realms of government policy-making. Reform efforts to whittle down the powers of the senior bureaucrats began in earnest under Ryutaro Hashimoto in the 1990s and continued unabated under successive prime ministers. And in Germany, for a period of time following reunification with the East, there was a concerted process of purging the politically unfit civil servants from the higher public service.[54]

A key SMD issue within the broader environment has to do with that of diversity and openness. The Human Resource Management Working Party Meeting of the OECD Secretariat opined in mid-2000 that "the issue of women leaders in the civil service seems to be one of the most unexplored areas in leadership issues".[55] Statistics show that even traditionally women-friendly public sectors of the Scandinavian countries have not been able to make much progress in this front. Norway, for example, long considered to be at the forefront in this area, has a four-year plan to increase the number of women in top and middle managers (from 22 percent in 1997 to 30 percent in 2001).[56] Denmark, Norway, and Portugal are other countries with relatively high proportions of women in the senior public service. The comparable figures for countries such as Japan are paltry because there appear to be systemic weaknesses in their efforts to encourage women to move up the echelons of the public service. OECD asserts that this issue will gain more weight down the road as countries begin to face critical skills shortages in the public sector.

There is a need to also look at the issue of diversity in the upper echelons of the public service in terms of the presence of minorities. The figures do not look very promising here around the world although almost all the OECD countries profess to have shown a greater concern to increase diversity in their senior public services. There appear to be very few countries that have actually made sustained efforts to have an inclusive service at the upper echelon. Countries such as Belgium, France, and Japan have yet to open up their recruitment systems with entry into senior positions being closed to outsiders. There is also no formalised selection process in these countries. Ireland also has a similar system where there is no provision for advertising vacancies outside the public service.

In many of these jurisdictions, the age profile of the senior public servants is also beginning to be a problem. In the Netherlands, for example, two-thirds of the SPS members are over the age of 50,[57] and a similar situation is said to exist in the Commonwealth SES as well in Australia. This has strong implications for making the service an open one and for taking in outsiders more readily. By and large, this is considered more difficult if the service is characterised by recruitment from good universities, a centralised personnel system, and lifetime careers (as is the case in Canada and several other jurisdictions).

Implications for New Zealand

The preceding discussions on country experiences with senior public services have several implications for us as we begin to formulate a new SMD programme. If we were to juxtapose

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[53] Halligan (1997); for more discussion on the nature of politicisation of the upper echelons of the Australian Public Service, see Mulgan (*op cit*).

[54] For a comprehensive cross-jurisdictional comparison of the politicisation of the senior public services, see OECD (1997), pp. 33, 37-39.

[55] OECD (2000b).

[56] See OECD (2000a).

[57] See Office of the Senior Public Service (1999), p. 5.

the jurisdictional experiences with what can be intuitively inferred from the conceptual bases[58] on which good SMD should be based, we would be able to come up with some very illuminating implications to anchor our own programme.

Targeting Potential Senior Managers

To begin with, it is clear that we need to do more to identify the relevant talent base early on (and then track the individuals) so that we are better able to facilitate provision of the necessary development opportunities, if need be. This identification and tracking already occurs at an informal level (and largely through the departmental chief executives) but it is clear that in order for a solidified base to be in place, a greater role of the SSC is necessary. This should take the form of a database at the SSC to which would be provided input by the senior managers on their competencies and career plans. This would then be accessible to various other participants including the chief executives, and the Deputy Commissioner Teams within the SSC. While we may not be able to push through a requirement to make entry of the career details of all senior managers mandatory, there would have to be some effort to actively encourage the senior managers to voluntarily input the information. The database would also have to be rather extensive so as to be able to provide a rich picture of the current status of managerial expertise and of the gaps that are evident in particular individuals listed in the database. The database should be flexible (meaning that this should allow for people to move in and out as the situation might warrant). This mobility factor is designed to add dynamism to the database since it will give a more accurate picture of what capacity exists at any given time.

Central to the creation of the database are these issues:

- the nature of the database (i.e., what exactly goes into the database – what are the data fields for which we seek information?);

- the location of the database; and

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[58] In looking at the conceptual bases and hypothesised relationships related to SMD, we need to keep in mind that this is structured around themes of succession planning, leadership training, good HRM practices including training and development, etc. In the case of the New Zealand public management system, this can be expressed notationally as: **Good SMD = $f(L_d, L_c, D_{exp}, IS, HRM_{pr}, e)$**

where: SMD = Senior Management Development (dependent variable)
L_d = Leadership in departments (H_o: +ive)
L_c = Leadership from the Centre (H_o: +ive)
D_{exp} = Expression of demand (H_o: +ive) *(Demand function)*
IS = Institutional Strength (H_o: +ive) *(Supply function)*
HRM_{pr} = Human Resource Management practices in departments (H_o: +ive)
e = residual

Of the exogenous variables, it goes without saying that the level and quality of leadership exercised by those at the top is one of the key determinants of success in organisations (see, for example, Bennis and Nanus (1985), OECD (1999a), Dawson (*op cit*)). We can bifurcate that to include leadership exercised in agencies by departmental leaders (chief executives, for example,) and in the Public Service as a whole by the Centre. In both cases, the hypothesised relationships with good SMD are positive (i.e., the stronger the leadership role, the more positive we would expect SMD to be). The expression of demand is an important concern in the enhancement of SMD in the public service. It is necessary that civil servants come forward with their career plans so that the authorities are in a position to assess the requirements for planning purposes. This expression of interest has been shown to be an important consideration in SMD in the Netherlands, for example (see Office of the Senior Public Service (1999), p. 5). On the other hand, institutional strength refers to what institutions can offer to meet the demands of civil servants that are demanding development opportunities. Finally, human resources management practices refer not only to recruitment, promotion, performance management and other practices but also training and development, particularly on career mobility, job stretch, etc. We can hypothesise that the more the organisation puts emphasis on these practices, the better the SMD result is expected to be.

- who will have access to it? While it would appear logical that the staff members themselves be the only ones that have access to it, the question arises if there will be any means of quality control and verification built into the system if that is the case.

Use of Common Competencies

A key field in the proposed database will be that on competencies. The general consensus in other jurisdictions is that at the senior management level, there is more need to develop generalist – as opposed to specific – skills. In that regard, the use of a competency framework should give some insights on what senior managers should be capable of. It is quite obvious that we are in search of skills that transcend the narrow specialist ones and encompass the gamut of skills necessary for dealing with contingencies and with the dynamic nature of relationships and networking that is so central to the effectiveness of work in the public sector. While the British and the Australians seem to have moved ahead in this regard, the devolved nature of our public management system does not give us the same level of flexibility and approach that the other countries have.

It is logical to assume that some sort of a competency framework probably does exist in all agencies of the New Zealand Public Service (NZPS); whether or not that framework is tied into – or dovetails with – the departmental performance framework is going to determine the extent to which the SSC will be able to have any meaningful degree of influence in the manner in which the framework is used. Individual agencies have their own levels of usage of frameworks, and anecdotal evidence has it that agencies such as the Treasury already have in place frameworks that have yielded substantive results in terms of staff development. The current thinking is either to continue with some consultative input on a capability framework that will enable the agencies to blend into their own existing ones or to have the SSC – or some other entity such as the Management Development Centre (MDC) – prescribe a common one. Given the hard political realities of the difficulties associated with the latter (in terms of implementation and the deficit between the central agencies and the rest of government), it is not very likely that we will be able to pursue that particular angle unless the dynamics of inter-agency relationships change substantively.

There appears to be an emerging mood now for aggressively considering ways of bringing to the fore the issue of a public sector-wide competency framework. The key thing though would be to use the existing competency framework as a reference point and build on it. The second key point would be to keep in mind that, as in Finland, we should also probably go for a looser competency framework which places equal emphasis on determining existing as well as future potential of individuals.

Locus of Impetus for SMD

To push through the uniform competency framework, we would have to take recourse to the 1988 State Sector Act even though it is clear that while the SSC has been given the legal mandate, it has for various reasons not been able to fulfil its roles fully. To wrest the initiative back to the SSC, there is need, it seems, to have it and the State Services Commissioner play a more assertive leadership role in facilitating the tone and direction of the management development process. This has clear implications for the use of the "bully pulpit" wherein the Commissioner takes the high ground and seeks to generate understanding of – and to the extent that it is possible, compliance with – a common platform of staff development. The purpose is to help the Commissioner use influencing strategies to draw support not only from the political establishment (the Minister of State Services and his colleagues as well as the Prime Minister) but also other stakeholders in the general public sector. Clearly the emerging opportunity contained in the "Improving State Sector Performance" initiative should prove to

be a useful entry point for the new SMD Programme regardless of whether the latter is contained in the initiative or is placed outside it.

This locus of impetus for SMD has to be manifest in various leadership activities of the Commissioner including conducting regular meetings with senior managers, championing SMD at every opportunity, and engaging senior managers in areas such as values and whole-of-Public-Service views. It also means that the SSC would have to work more closely with the MDC. Given the nature of centre-agency dynamics in the New Zealand public sector, it is not likely that the SSC will have much impact on what training should be provided and how such training courses should be designed. One way of getting around this constraint might be to actively encourage the inclusion of other service providers in this process (both within and outside New Zealand). The SSC could also look at amending the MDC Trust in such a way that it is given a more visible presence in the MDC Board.

In that regard, given the devolved nature of public sector management in New Zealand, we would be hard-pressed to push for a programme that is not seen to be owned by the agencies themselves. At the moment, it appears that the only entity capable of filling that void is the MDC. This makes our engagement with the MDC that much more critical to the success of the new SMD Programme. Underpinning our support to the MDC on the matter of ownership of development programmes is the assumption that there has been a fair amount of discussion with departmental chief executives and other stakeholders in this process. Unless that is done, the ownership issue is not likely to have been addressed satisfactorily at all.

There is yet another issue regarding ownership of development programmes – that of access to opportunities. Given that staff development does not comprise training alone, we need to be more aggressive in identifying and promoting secondment and other opportunities so that designated and targeted senior managers can avail themselves of other learning experiences. The results of the scanning done earlier have shown a surprising degree of coalescing among various techniques of leadership development. Job rotations, other forms of external and internal mobility, mentoring, as well as postgraduate studies are widely practised around the world. While we are not in a position to duplicate the rather formalistic mechanisms in effect in countries such as Japan, mentoring of the type being contemplated in the Netherlands and Iceland ("coaching and counselling" methods for present or potential leaders in conjunction with private sector leaders) could be presented as a framework to the agencies. Concomitantly, we could take cues from Iceland where the government helps leaders to organise and maintain networks among themselves to foster a sense of camaraderie. The idea of "mental mobility" as practised in the Netherlands also has considerable merit.

Diversity

The final implication for New Zealand based on international experiences with SMD is that the proposed SMD programme has to incorporate some specific and implementable interventions related to the issue of diversity. Going by international standards, New Zealand has one of the highest levels of female appointments in the upper echelon of the Public Service (33 percent). Yet much thought must still go into how we can increase the proportion of women in the senior management ranks. More work could be done, for example, in incorporating the intent and substance of the Women in Senior Management project and the Career Progression Survey work into SMD.

We have also yet to tackle firmly the ethnic minority issues in SMD feeling comfortable instead to talk of SMD at the conceptual and broad level. While it may take a more aggressive political stance to encourage the inclusion of more women and minorities in the upper

echelons of the Public Service, we should aim to continually highlight this facet in the new programme. Given the low numbers of Māori and Pacific Islander people at the senior levels in the NZPS (the number of Māori in senior management positions is 8.7 percent and the number of Pacific peoples is a paltry 1.4 percent), we might take some cues from the SCS in the UK (particularly the "Bringing in and Bringing on Talent" programme) on how to reach out better to minorities. A particularly impactful measure may be to initiate (along the lines of the Senior Women in Management Programme in Australia) a programme of mentoring (and/or coaching/counselling) for women managers in Tier 2 and 3 in the public service.

Some Caveats

One particular issue that does not seem to have been emphasised much in the literature is that of incorporation of appropriate monitoring and evaluation (M&E) benchmarks, processes, and systems in SMD. The literature itself is not of much help since very few jurisdictions have incorporated this to an extent that they would be comfortable sharing openly. In that regard, a key question we would need to address in our own programme is how we intend to measure and monitor the success criteria. There are no readily available cues to us in the formal secondary sources that could give us any substantive pointers on this issue.

There is also a sense now that the mood in the New Zealand public sector is swinging towards the centre reasserting itself in matters of staff development, competencies, senior management and succession pool, etc. This should necessarily include a revisit to the basis of how public sector governance has evolved over the years and how that would give us some opportunities to impact the future direction of SMD in the NZPS. This also goes to the core of the issue of having to sustain the interest in SMD across political cycles. This demands that ministers and others be continually engaged in this programme, and also that we start discussions with all stakeholders at the earliest possible opportunity.

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Appendix 1: List of Individuals and Agencies Contacted

Country	Individual and Agency contacted
Austria	Christa Voigt, Director, Federal Ministry for Public Service and Sports, Division of Personnel Reporting, Vienna
Denmark	Charlotte Wegener Kofoed, Special Adviser, State Employer's Authority, Ministry of Finance, Copenhagen
France	Marc Duvauchelle, Head of the Office of Public Service, Ministry of Public Service and State Reform (*Ministère de la fonction publique et de la réforme de l'Etat*), Paris
Germany	Joachim Vollmuth, Head of Division, Federal Ministry of the Interior, Berlin
Hungary	Dr Zsofia Czoma, Counsellor for International Affairs, Prime Minister's Office, Budapest
Norway	Finn Melbø, Deputy Director General, Ministry of Labour and Government Administration, Oslo
Poland	Witold Krajewski, Head of the International Co-operation Section, Office of Civil Service, Warsaw
Singapore	Ms Angie Ng, Research Assistant, National University of Singapore (and former intern, Ministry of Foreign Affairs, Singapore)
Sweden	Ms Inga Lundberg, Senior Adviser, The Swedish Agency for Government Employers, Stockholm
The Netherlands	Renee Simonis, Communication Department, Office of the Senior Public Service, The Hague
United Kingdom	Rhys Chesters-Lewis, Employment Conditions & Statistics Division, Cabinet Office, London Malcolm Dawson, Head, Senior Performance Management & Pay, Cabinet Office, London Carolyn Mason, Performance and Reward Division, Cabinet Office, London

Appendix 2: **Attributes of the SPS in Various jurisdictions[59]**

Attribute	
Recruitment	*Austria, Belgium, Canada, Denmark, France, Germany, UK, USA:* option to appoint on permanent basis *The Netherlands*: appointment on fixed-term basis generally not emphasised *Germany*: Public Service Offices of the Federation and of the Federal States responsible for recruitment and for career development *Belgium*: recruitment responsibilities delegated to the federal states and the different communities *Denmark, Sweden, Finland*: Ministry of Finance develops guidelines and provides advice on recruitment *Australia, Canada, Finland, France, Sweden, the Netherlands, UK*: central authority to appoint senior civil servants *Austria, Belgium, Germany, Portugal, USA*: decentralised authority to appoint (however, in the USA, a quality review board has a check on the individuals) *Poland*: exams held for appointment to the senior ranks *Sweden*: extensive search procedure in the business sector, municipalities, and county councils; reliance also on professional recruitment consultants *Belgium, France, Japan*: career-system in place – entry to senior positions is on the basis of internal promotion and there is a clearly defined career path *Australia, Canada, Finland, UK, USA*: use of standard core selection criteria or competencies *France*: senior management posts reserved for members of the corps of Civil Administrators or *ENA/EP (Ecole Polytechnique)* graduates
Mobility policies (including training and development)	*Australia, France, Portugal, Sweden, the Netherlands, UK, USA*: explicit policy on mobility *Germany*: mobility at the initiative of individual *Canada*: mobility an important prerequisite for promotion *UK*: targets for interdepartmental mobility and with private sector; explicit policy on networking *France*: statutory obligation to be mobile within first four years *Canada*: focus on cooperation and coordination between public service organisations *Belgium*: no specific mobility programmes in place but "absentee replacement" allows civil servants to be released for work in international organisations, etc. *Australia, Austria, Belgium, Canada, Denmark, Finland, Germany, Portugal, Sweden, the Netherlands, UK, USA*: centrally organised programmes on T&D *France*: no centrally organised programme on T&D (although most senior civil servants are trained at *ENA* entry to which is by stiff competition) *Denmark*: development of senior civil servants their own responsibility shared with by the department *Austria, UK, USA*: main focus on development of personal skills *Australia, Belgium, Denmark, Finland, France, Portugal, Sweden, the Netherlands*: development of personal and professional skills receive equal attention *Canada, Germany*: main focus on development of professional skills *Poland*: National School of Public Administration (under the Prime Minister's portfolio) trains high-ranking prospective civil servants *Sweden*: high priority to proper induction of new employees; T&D inputs delegated to agency concerned; mentor programme for recently appointed middle managers
Performance reporting and appraisal arrangements	*Australia, Canada, France, Sweden, UK, USA*: formal annual performance agreements for senior civil servants *Austria, Belgium, Germany, Iceland, Japan*: no formal reporting or appraisal mechanism for senior public servants *Finland*: senior officials subject to an annual discussion with their superior to review whether they have reached their targets *The Netherlands*: provision for formal performance assessments but informal dialogue and reviews of management contracts are more the norm
Succession planning	*Canada*: succession planning systems used to fill top positions at Deputy Minister level *Ireland*: succession planning done by Top Level Appointments Committee and departmental management in an informal way *UK*: exercise conducted by departments annually; Fast Stream staff are specifically targeted; SCSG involved extensively *USA*: agency heads encouraged to implement succession planning strategies.

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[59] Material in this summary comes primarily from Berenschot (1997), OECD (1997), and material presented earlier on in this paper.

Appendix 3: Degree of Fit of Competencies

(Private and Public Sectors across Jurisdictions)

3M competences		UK	USA	Australia	Netherlands
	Ethics	---	▲▲▲	▲▲	▲▲▲
Fundamental	Intellectual capacity	---	▲	---	▲
	Maturity & judgement	---	---	▲▲▲	▲▲▲
	Customer orientation	---	▲▲▲	---	---
Essential	Developing people	▲▲	▲	▲▲▲	▲
	Inspire others	▲▲▲	▲▲	▲▲	---
	Business results	▲▲▲	---	▲▲	---
	Global perspective	---	▲▲▲	---	▲▲
	Vision and strategy	▲▲▲	▲▲▲	▲▲▲	▲▲▲
Visionary	Nurturing innovation	▲▲	▲▲▲	---	---
	Building alliances	---	▲	▲▲	▲▲▲
	Organisational agility	▲▲	▲	▲	▲

Legend:	---	no emphasis on
	▲	scant emphasis on
	▲▲	secondary (implied) fit
	▲▲▲	primary (specified) fit

Sources: for 3M competencies, Alldredge and Nilan (2000).

An enhanced model of leadership competencies is developed by 3M, a company that has "enjoyed a reputation as an organisation that fosters innovation and new product development".[60] What is attempted here is to show how the private sector competencies are mapped across several countries. The Table shows that the orientation of 3M's leadership model has cadences with the levels of needed competences rising from fundamental to visionary. Associated with each competency is a descriptor of how well the public sector competencies at the senior levels of the public service map to the private sector ones.

Four distinct patterns that emerge include:

- the only primary fit between the private sector and public sector competencies in all countries is in the area of "vision and strategy". A lesser fit – but still noteworthy – is that in people-related skills, in particular, "developing people", and "inspiring others";

- it is curious that the fundamental competency of "ethics" is not emphasised at all in the UK SCS. The other jurisdictions, however, continue to give this competency wide coverage;

- the US appears to have the closest fit with the 3M competencies. In the visionary competencies, however, not much focus is placed on "building alliances" or "organisational agility"; and

- the UK has clearly placed focus on the upper levels of the competency frameworks.

Putting the Table in context though, it must be said that the private sector competencies are not really adequate to cover the gamut of issues that senior managers in the public sector

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[60] See Alldredge & Nilan (2000), p. 134.

must deal with. For example, in the US SES, competencies such as conflict management, cultural awareness, team building, and political savvy are highlighted to a considerable degree. And in the Australian SES, valuing individual differences and diversity is given some degree of emphasis. The private sector competency frameworks do not reflect such competencies to any satisfactory degree.