Implementation Guide

CHARTER FOR CARIBBEAN PUBLIC SERVICES (CCPS)

Draft Prepared by CARICAD
October 31, 2015

Table of Contents

Foreword

(To be included in the final version of the Implementation Guide)

Background

The Caribbean Center for Development Administration (CARICAD) and the Latin American Centre of Administration for Development (CLAD) jointly staged the "*Symposium on the Public Service as a Mechanism for strengthening Public Administration: Building Bridges of Solidarity and Cooperation - CARICAD-CLAD Partnership*" in Port Spain, Trinidad and Tobago on July 16 and 17, 2015. Funding was provided through the CARICOM Secretariat from the CARICOM-Spain Joint Fund to assist in meeting some of the costs of the Symposium. The Government of Trinidad and Tobago through the Ministry of Public Administration provided financial and human resources for hosting the Symposium. The Symposium was one of the major activities of the Project under the CARICOM-Spain Joint Fund.

All seventeen (17) of CARICAD's member states were invited to attend the Symposium. Additionally under the terms of the project, the non-CARICAD member states of Bermuda, Cayman Islands and Haiti were also invited. Eight CLAD member states attended: Argentina, Chile, Colombia, Costa Rica, El Salvador, México, Perú and Paraguay.

The most significant Strategic Priorities of the project are:

i. Symposium on Public Administration
ii. Development of a Charter for Caribbean Public Services
iii. Stakeholder engagements to review the Charter
iv. Improved exchange of technical information/expertise between CARICAD and CLAD
v. Development of proposals for online training for public officials in CARICAD member states through cooperation with Spain.

CLAD and CARICAD are regional organizations with similar functions to support and promote the exchange of good practices for public sector reform and modernisation of their member states. CARICAD operates among CARICOM member states and CLAD operates primarily among Ibero-American states.

In 2003, CLAD initiated the formulation of Ibero-American Charters (Cartas Ibero-Americanas) in different areas of public administration. The first Charter was the Ibero-American Charter of Public Service (Carta Ibero-Americana de la Función Pública, 2003). That Charter defines a set of principles and guidelines for the institutional strengthening, management and professionalization of public employment in Ibero-American States. It is a common platform that has contributed to enhanced diverse processes of change in the public service systems without striving for uniformity.

The formulation and implementation of a regional public service framework would be a step forward in strengthening and professionalizing the public service in beneficiary. CLAD's "Ibero-American Charter of Public Service" has been used as an inter-regional bench mark and for lessons learnt in relation to the process to develop the Caribbean Charter.

Introduction

One of the decisions taken at the Symposium was that work on a Charter for Caribbean Public Services (CCPS) should begin immediately with the intention of producing a document that could be presented to Ministers of the Public Service and subsequently Heads of Government of CARICOM within a Calendar year. A Working Group of Senior Public Officials was established to advance the process of coordinating the Regional and National effort to produce a draft Charter for Caribbean Public Services that would ultimately be submitted to CARICOM Heads of Government after consideration by the appropriate Ministerial Councils. The Working Group was known as the Technical Working Group for the (TWG-CPSC); it coordinated efforts to review the Conceptual Framework for the Charter and to provide feedback for CARICAD as an input into the draft Charter. CARICAD, as the assigned implementing agency was responsible for the necessary research, conceptual and operational work to develop the Charter and this Implementation Guide.

The CCPS has been prepared as a stand-alone document for approval by Ministers of the Public Service and, in the case of CARICAD Member States, ultimately by the CARICOM Heads of Government.

A draft Charter and this Implementation Guide were submitted for review by CARICAD to the CARICOM Secretariat.

Definition of Charter

A Charter identifies components of a professional and effective public service. It establishes a general framework of guiding principles, policies and management mechanisms reflecting a common commitment of the Public Services of the Caribbean Region. It is intended to serve as a catalyst for the reform, modernisation and transformation of national public sector entities within the context of each country's realities and priorities.

Purpose of Implementation Guide

To provide a framework for a renewed and harmonised approach to public sector modernisation among beneficiary States[1]. It establishes a general framework of guiding principles, policies and management mechanisms reflecting a common commitment of the Public Services of the Caribbean Region.

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[1] The 17 Member States of CARICAD, Haiti, Bermuda and Cayman Islands were identified as Beneficiary States.

Objectives

The objectives of the Implementation Guide are to:

- Provide a common conceptual framework for defining and identifying future initiatives in public sector modernisation.

- Establish a common ethical basis for the delivery of public services in beneficiary States.

- Provide a platform for determining priorities for technical assistance, support and harmonised interventions among beneficiary States.

- Establish a basis for the delivery of quality and innovative service that meets the needs of stakeholders.

- Foster collaboration of beneficiary States in modernising administration and strengthening institutional capacity for improved public services.

- Encourage the harmonisation of policies and procedures related to Public Service and Administration among Member States with the aim of promoting regional integration.

Scope

For the purposes of this Implementation Guide, the public sector encompasses:

a) The various sectors of the politico-administrative system, including those which may have their own individual rules or regulations;

b) The various levels of government and administration, including public employment within the framework of national government and subnational institutions, at both the intermediate and local levels;

c) The various degrees of decentralized management, including both central and decentralized bodies, whether or not they have their own legal personas.

A Basic Concept of the Public Service

The public service comprises all the institutional arrangements through which public employment and public service employees are defined and managed in the context of a specific national reality. These arrangements encompass written or informal standards, structures, cultural patterns, explicit or implicit policies, processes and various practices and activities whose purpose is to ensure satisfactory human resources management in the context of a professional and effective public administration in the public interest.

In the public sphere, the purposes of an employment and human resources management system must reconcile the objectives of effectiveness and efficiency with the requirements of equality, merit and impartiality which characterize professional administrations in democratic societies.

The basic features of this concept are:

a) A professional administration means a public administration which is managed and controlled but not dominated by policy in implementation of the democratic principle. This means that, for reasons of public interest, its work must retain a certain independence and impartiality;

b) The concept is compatible with the existence of different public service models. The institutional arrangements framing access to public employment, the careers of public service employees, the competencies of the various actors and other elements of employment and human resources management do not necessarily have to be the same in the different national contexts;

c) Public service systems may encompass one or more different types of employment relationships between public bodies and their employees which may be more or less closely related to ordinary employment regulations. A country's public service may comprise employment relations based on letters of appointment or contracts, governed by public or private law, where disputes are addressed before specialized judicial bodies or ordinary tribunals.

In order to establish and retain a professional administration, certain regulations specific to public employment, distinct from those governing ordinary work carried out by third parties, are required.[2]

Value of the Charter

The Charter will provide many benefits if its principles and recommended practices are consistently implemented. The benefits include:

- A harmonised approach to public sector modernisation among CARICOM member states
- The opportunity to improve collaboration and the sharing of good practice experiences among member states
- The strengthening of administrative arrangements for regional integration
- Improved delivery of public services
- Higher standards of accountability and transparency

Imperatives

The imperatives that underpin the Charter include:

- The need for the more consistent application of ethical principles in the delivery of public services.
- An increasing global demand for higher standards of accountability in public services.
- A requirement for openness and transparency in the management of human resources in the public sector.
- Greater efficiency and effectiveness with regard to doing business indices.
- The need to optimize the use of available resources in light of global economic challenges.

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[2] Ibero-American Charter for the Public Service 2003

CHAPTER 1

Use of Terms

Accountability: The obligation of an individual or organization to account for its activities, accept responsibility for them, and to disclose the results in a transparent manner. It also includes the responsibility for money or other entrusted property.[3]

Business Process Re-engineering (BPR): The fundamental reconsideration and radical redesign of organizational processes, in order to achieve dramatic improvements of current performance in cost, speed, and quality of service.

Cabinet: The body of officials consisting of the Prime Minister, other Ministers and selected Officials who comprise the highest decision-making level of an elected government

Capacity: The ability of the permanent administrative machinery of the state to implement policies, deliver services to the public, and provide policy advice to decision-makers.

Change Management: The process of helping people understand the need for change and to motivate them to take actions, which result in sustained changes in behaviour.

Charter: A Public Service Charter identifies components of a professional and effective public service. It establishes a general framework of guiding principles, policies and management mechanisms reflecting a common commitment of the Public Services of the Caribbean Region. It is intended to serve as a catalyst for the reform, modernisation and transformation of national public sector entities within the context of each country's realities and priorities.

Civil Service: The Civil Service refers to the body of officials who carry out functions of government under the direction and supervision of the Head of Government. Excluded in this definition are employees of state-owned enterprises, the army, the judiciary and the police who, together with civil servants, collectively constitute the public sector[4].

Code of Conduct: A code of conduct contains the principles and values underlying good public administration for the public sector and provides consistent standards

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[3] http://www.businessdictionary.com
[4] Jimmy Tindigarukayo and Sandra J. Chadwick

of conduct for all employees. Codes of conduct provide a framework for ethical culture within the sector (Queensland PMF –Glossary terms)

e-Government: The use of information and communication technologies (ICTs) to improve the activities of public sector organisations.

Ethics: Ethics is a system of moral principles. Ethics is concerned with what is good for individuals and society and is also described as moral philosophy.

Governance: The concept encompasses the manner in which public sector organisations acquit their responsibilities of stewardship by being transparent, accountable and prudent in direction setting, decision making (including investment decision making), performance management, issue and risk management and other compliance activities, in providing advice and in managing and delivering services, programmes and projects.

Government: The organization, machinery, or agency through which a political unit exercises authority and performs functions and which is usually classified according to the distribution of power within it. It sets and administers public policy and exercises executive, political and sovereign power through institutions, customs, and laws within a state.

Information: Data that can be used for action or decision making. It refers to sources that are current or historical.

Knowledge: Information that resides in the human brain. In an organisational setting, knowledge increases value for the organisation and its stakeholders.

Knowledge Management: A discipline that promotes an integrated approach to identifying, capturing, evaluating, retrieving and sharing all of an enterprise's information assets. These assets include databases, documents, policies, procedures and previously un-captured expertise and experience in individual workers.

Member States: The Member States of the Caribbean Centre for Development Administration (CARICAD). (Anguilla, Antigua, The Bahamas, Barbados, Belize, British Virgin Islands, Dominica, Grenada, Guyana, Jamaica, Montserrat, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago, Turks and Caicos Islands).

Openness: There is an important difference between the traditional approach to open government and the current, renewed one. While the traditional approach emphasized transparency, current approaches also involve key elements of participation, collaboration and innovation. Governments are seeking to deliver information in more useful ways to the citizen, and also opening new channels for participation and new approaches to collaboration[5].

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[5] Special Issue of Information Polity on Open Government. Information Polity 17, no. 2, (2012.)

Performance Management: The systematic process by which an organisation involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of agency mission and goals.

Public Sector: The term 'public sector' refers broadly to the entities that exist and people employed for public purpose. The public sector supports all three arms of government - the 'executive' arm (the Government of the day), the 'legislature' (Parliament) and the 'judiciary' (judges of the various courts)[6]. The public sector can be considered as comprising of a number of categories - public service departments, statutory bodies and Government-owned companies.

Public Sector Transformation: Consists of deliberate changes to the structures and processes of public sector organizations with the objective of getting them to run better. Structural change may include merging or splitting public sector organizations while process change may include redesigning systems, setting quality standards and focusing on capacity-building[7].

Resilience: The capacity of a system to continually change and adapt yet remain within critical thresholds.

Service: The products and engagements undertaken by agencies that deliver outputs and result in outcomes for clients, stakeholders and the community. Ideally, services generate benefits for clients, stakeholders and the community and as a result, are valued by them. The efficiency and effectiveness of service delivery is measured using service standards.

Service Delivery: Services provided to clients by agencies. Service delivery is changed or improved through projects and programs**.**

Stakeholders: Persons or organisations that can affect, be affected by, or perceive themselves to be affected by a decision or activity. Stakeholders include business or the community. Note, a decision maker can be a stakeholder. Stakeholders who are direct or potential service recipients are referred to as clients. In the Public Sector, Stakeholders exist internally within an organisation as well as outside the organisation.

Standards: A level of quality; set up and established by authority as a rule for the measure of quantity, value, or quality.

Statutory Body: Established under an act, has control of its funds and is governed by a body whose members are appointed under that act.

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[6] https://publicsector.wa.gov.au/about-us/what-public-sector
[7] UNESCO 2006

Transformation Leadership: A style of leadership where the leader collaborates with employees to identify the needed change, creating a vision to guide the change through inspiration, and executing the change in tandem with committed members of the group.

Transparency: Government's obligation to share information with citizens. It is at the heart of how citizens hold their public officials accountable[8].

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[8] ballotpedia.org

CHAPTER 2

Ethical Foundations for the Public Service

The Public Sector has a moral base founded on two closely related concepts, namely ethics and values. In essence, the values provide the moral touchstone upon which ethics are based such that decisions and actions can be judged as acceptable or unacceptable.

At its simplest, ethics is a system of moral principles. They affect how people make decisions and lead their lives. Ethics is concerned with what is good for individuals and society and is also described as moral philosophy[9]. Ethics are also rules that translate values into everyday life; determining what is good, bad, wrong or right[10].

Values are important and lasting beliefs or ideals shared by the members of a culture about what is good or bad and desirable or undesirable[11]. Values have major influence on a person's behavior and attitude and serve as broad guidelines in all situations

Values are in fact qualities which organisations and individuals use to express the attributes associated with their work. The individual principles or qualities that guide judgment and behaviour[12].

Many codes of conduct are developed for public services based on ethics and values. Although there is often significant variation regarding the key terms upon which emphasis is placed there is general agreement that the terms shown below are an important frame of reference for the public service.

Integrity
Holders of public office should ensure that their actions are not affected by personal interest and they do not misuse authority for personal gain.

Fairness
Holders of public office respond to and treat stakeholders with respect, dignity and equity ensuring that they gain access to services to which they are entitled irrespective of race, gender, religion, ethnicity, or social circumstances.

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[9] BBC
[10] OECD
[11] http://www.businessdictionary.com/definition/values.htm
[12]

Objectivity
In carrying out public business, including making public appointments, awarding contracts or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

Accountability
Holders of public office and must submit themselves to whatever scrutiny is appropriate to their office.

Openness
Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands it.

Transparency
Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

Impartiality
Holders of public office embrace a professional approach and pattern of work that reflects no partisan political allegiance or motivation. They remain committed to political neutrality such that they can work effectively with current and future administrations of differing political persuasions as circumstances determine or require.

CHAPTER 3

Administrative Context

The majority of the beneficiary countries are Commonwealth Caribbean countries that are members of CARICAD. They are either former colonies of the United Kingdom that gained independence within the last sixty (60) years or non independent entities, with the status of Overseas Territories.

The public service in all of those countries inherited a system which is widely described as the Westminster/Whitehall Parliamentary System. The system is based on a 'first-past-the-post' electoral process resulting in legislative and executive authority concentrated in the party that wins the general election by a simple majority. It includes a Ministerial system of government in which a Prime Minister and a selection of Ministers have portfolio responsibility for all areas of governance, economic, social and environmental development, security and foreign relations.

The portfolio responsibilities are usually set up as distinct subject matter areas. A Minister can have responsibility for more than one Ministry. The administrative head of each ministry is a Permanent Secretary (or Chief Executive Officer in Belize). In general, all other public officers in a ministry are accountable to the Permanent Secretary and they report to him or her.

In the public sector, in a broader sense, there are statutory organisations, executive agencies and government companies. In all of these cases, the level of independence of the organisations will be greater than the line Ministry reporting relationship. However, the government still maintains administrative control usually through a particular statute and the power to appoint the Board of Directors.

The public sector therefore exists to enable the government of the day to execute the many aspects of its role which are often categorised as follows:
- Provision of services such as education, health, social and security
- Regulation of services provided by the private sector and non-governmental organisations
- Dissemination of information
- Making and enforcing laws and regulations

In countries other than Commonwealth Caribbean countries, despite significant constitutional or electoral changes the administrative structures for the public service are very similar to those of the Commonwealth Caribbean countries. Additionally, all of the beneficiary countries are members or associate members of CARICOM. This suggests that they are committed to administrative arrangements

in which the public sector will play a significant role in advancing administrative procedures to support regional integration. This also means that they are committed to systematic action among a range of public sector agencies at national level. Such action is required for administrative reform to cope with the institutional demands of a variety of functional cooperation and regional integration commitments. This includes playing a significant role in consultations on regional issues among representatives of all sectors and the public at large.
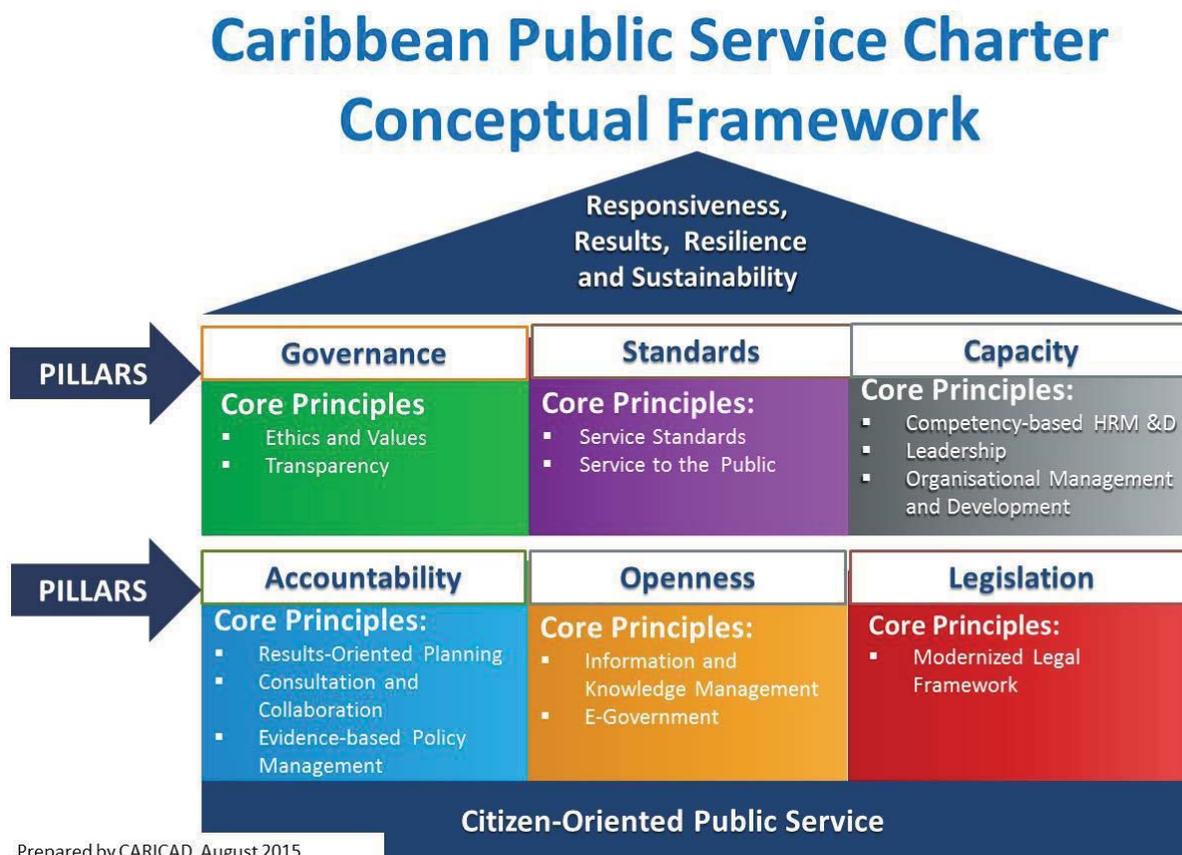
The features of the public service, based on the Westminster/Whitehall model that are particularly relevant in an administrative context include the following:

- A non-political and professional career service subject to a code of rules and disciplinary procedures.
- Public Officers support the government of the day in developing and implementing its policies and in delivering public services.
- Public officers do not earn profits from their work, but salaries and benefits prescribed by the terms of their employment.
- Duties, rights and privileges are well-defined and enshrined in laws and regulations.
- Public officers are required to serve the duly-constituted government of the day of whatever political complexion.
- Public officers advise on policy but the determination of policy is the responsibility of the Minister.
- It is the duty of a public officer to give the Minister honest and impartial advice, without fear or favour.
- Advice provided to Ministers should be the best that public officers can provide at all times.
- Public officers should not withhold relevant information from their Minister.
- Public officers have an obligation to keep the confidences to which they become privy in the course of their work.
- Public officers should not seek to frustrate policies or decisions of the government of the day by the disclosure of information to which they have access as a public officer.

CHAPTER 4

Conceptual Framework for the Charter

A Conceptual Framework was presented by CARICAD at the Ministerial Symposium in Trinidad and Tobago in July 2015. The Framework was accepted and was subsequently endorsed by the Technical Working Group that was set up to advance the work on the Charter after the Symposium. It is illustrated graphically below:

Caribbean Public Service Charter Conceptual Framework

Responsiveness, Results, Resilience and Sustainability

PILLARS

Governance	Standards	Capacity
Core Principles ▪ Ethics and Values ▪ Transparency	**Core Principles:** ▪ Service Standards ▪ Service to the Public	**Core Principles:** ▪ Competency-based HRM &D ▪ Leadership ▪ Organisational Management and Development

PILLARS

Accountability	Openness	Legislation
Core Principles: ▪ Results-Oriented Planning ▪ Consultation and Collaboration ▪ Evidence-based Policy Management	**Core Principles:** ▪ Information and Knowledge Management ▪ E-Government	**Core Principles:** ▪ Modernized Legal Framework

Citizen-Oriented Public Service

Prepared by CARICAD, August 2015

The Framework for the Charter seeks to graphically illustrate and demonstrate a range of relationships that impact the public sector. The aspirational aspects relate to the fact that at the height of performance, the public sector is expected to be responsive, resilient and sustainable whilst being transformed from a rules and procedures-driven culture to a results-oriented culture. This is set against the

backdrop of a CARICOM Strategic Plan which has emerged from the same philosophical base in which results, resilience, accountability, openness and transparency are being accorded very high priority.

The Framework is based on a platform of citizen-centred public service with six (6) Pillars that promote the aspirational achievements identified before. The Pillars are:

- Governance
- Standards
- Capacity
- Accountability
- Openness
- Legislation

Each Pillar has several Core Principles which are intended to be a cohesive basis for actions related to the subject matter that falls under the ambit of the Pillar.   There are thirteen such Core Principles.

For each Core Principle, fifty (50) specific Strategic Priorities have been identified in which work efforts should be consistently directed in a coherent programme for public sector transformation. These Strategic Priorities represent the mechanisms, procedures, processes, systems and legislation which will be required for sustained effective public service delivery.
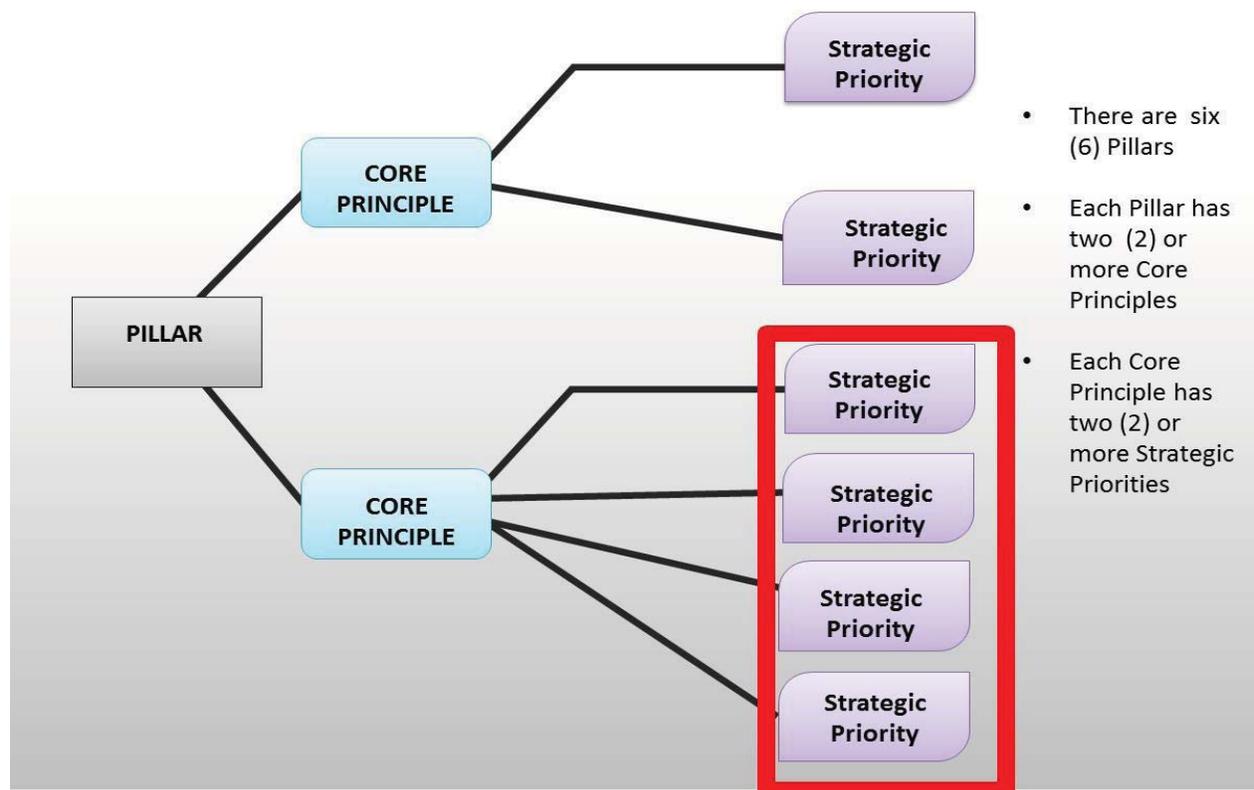
The Framework represents a harmonised approach to effective public sector transformation among participating States. This means that it establishes an overarching perspective of the desired ultimate outcome of public sector transformation in the region and the pathway to get there. It allows for the reality that countries are at different levels of development, with different levels of capacity, resource endowment, needs and priorities. This ensures that action can be taken by individual countries in a manner which suits their circumstances but will still fall within the Framework.

The following schematic illustrates the six Pillars (*Governance, Standards, Capacity, Openness, Accountability and Legislation*) of effective public sector transformation, each with its supporting Core Principles and Strategic Priorities:

GOVERNANCE

❖ **Ethics and Values**
   ✓ Code of Conduct

❖ **Transparency**
   ✓ Public Procurement
   ✓ Access to information

STANDARDS

❖ **Service Standards**
   ✓ International Standards (ISO)
   ✓ Doing Business Indices
   ✓ Business Process Re-engineering
   ✓ Innovation
   ✓ Recognition of Service Excellence
   ✓ Service Quality
❖ **Service to the Public**
   ✓ Accessibility
   ✓ Customer Service Standards
   ✓ Continuous Improvement

LEGISLATION

❖ **Legal Framework**
   ✓ Public Service Act
   ✓ General Orders/Staff Orders
   ✓ Regulations (Public Service Commissions)
   ✓ Harmonised Approaches

ACCOUNTABILITY

❖ **Results –Oriented Planning**
   ✓ Policy Implementation
   ✓ Monitoring and Evaluation
   ✓ Integrated Budgeting and Work Planning –strategic/corporate plans
   ✓ Risk Management
   ✓ Business Continuity Planning
   ✓ Contingency Planning
❖ **Consultation and Collaboration**
   ✓ Public-Private-People Partnerships (PPPP)
   ✓ Cross-Ministry coordination
   ✓ Structured cross-sectoral Consultations
❖ **Evidence-based Policy Management**
   ✓ Public Policy Analysis (analysis for policy and analysis of policy)
   ✓ Decision-making and Implementation

OPENNESS

❖ **Information and Knowledge Management**
   ✓ Open Data
   ✓ Information and Records Management
❖ **E-Government**
   ✓ ICT
   ✓ Connected Government
   ✓ Mobile Government
   ✓ Business Process Re-engineering and Management

CAPACITY

❖ **Competency-based HR Management & Development**
   ✓ Competency Frameworks
   ✓ Role of Service Commissions
   ✓ Recruitment/Selection
   ✓ Appointments, Promotion and Separation
   ✓ Performance Management
   ✓ Succession Planning
   ✓ Workforce Planning
   ✓ Capacity Development
   ✓ Diversity Management
   ✓ Public Officer Definition
   ✓ Gender Equality and Equity
❖ **Leadership**
   ✓ Transformational Leadership
   ✓ Teamwork
   ✓ Empowerment
   ✓ Coaching and Mentoring
❖ **Organisational Management & Development**
   ✓ Organisational effectiveness
   ✓ Structural efficiency

A total of fifty (50) Strategic Priorities have been identified in the schema above. The Strategic Priorities represent those areas of specific managerial action that should be addressed consistently to achieve the broad goals of public sector transformation. It is advisable that each country assesses and evaluates its current performance in relation to each element as a basis for establishing priorities for subsequent action in the short, medium and long term. The structure of this Implementation Guide is designed to facilitate a consideration of action at policy, strategic and operational levels. This will allow management and staff at all levels to see how their actions contribute to a coordinated effort at public sector transformation.

It is recognized that the Charter and the Implementation Guide have been developed for Ministries of Government as well as other Public Sector entities such as statutory organisations and wholly-owned public companies. The Charter should be implemented, in the context of the Mandate and Mission of the organisation such that the six (6) Pillars, thirteen (13) Core Principles and fifty (50) Strategic Priorities outlined in the Implementation Guide become part of the institutional culture. It is recognized that the fifty (50) Strategic Priorities will not be applicable in the same way to every public sector organisation in each beneficiary country. It is certain that organisations have already been taking action in areas related each of the Pillars and the Core Principles. However it is unlikely that such actions would have been taking place within the context of a regionally-agreed framework for public sector transformation. It is also conceivable that there are other Strategic Priorities which some organisations may be taking action on which have not been identified among the Strategic Priorities in this Implementation Guide. It is accepted that the relevance of each Element in relation to immediate needs will be determined at a country-level.

The descriptions that are provided below are intended to give practical suggestions for application of the Framework at strategic and operational levels in the public sector.

4.1 GOVERNANCE

Public Sector Transformation is based on Good Governance. Governance encompasses the manner in which public sector organisations execute their responsibilities of stewardship by being transparent, accountable and prudent in direction setting, decision making, performance management, in providing advice and in managing and delivering services, programmes and projects.

Governance applies at all levels within the public sector and the onus is upon supervisors and managers to ensure that the principles and practices of good governance are consistently applied and constantly adhered to. In the context of the Conceptual Framework for the Charter, two Core Principles of Governance are specifically identified namely i) Ethics and Values and ii) Transparency.

Application and Implementation

A public sector which is diverse and dynamic and needs to combine tested administrative practices to ensure reliable delivery of services, the flexibility to achieve outcomes most efficiently and an accent on innovation to take advantage of new and better ways to achieve outcomes. To enable this, chief executives, directors and senior executives should establish fit-for-purpose governance arrangements and be willing to adjust them to meet changing needs.
Effective governance arrangements contribute to a highly performing public sector, particularly in the light of fiscal constraints and public expectations for public sector services.

4.1.1 Ethics and Values

The closely related concepts of Ethics and Values constitute a core principle of Governance. This means placing emphasis on:

Serving the Public interest

- Responsive to the Government in providing frank, honest, comprehensive, accurate and timely advice and in implementing the Government's policies and programs.
- A public service where public officers support both individual and collective accountability and provide citizens with relevant information.

Serving with competence, excellence, efficiency, objectivity and impartiality

- Non-political, performing its functions within the ambit of laws and in an impartial and professional manner.

Acting at all times in such a way as to uphold the public trust

- Ensure the proper, effective and efficient use of public money.

Demonstrating respect, fairness and courtesy in their dealings with both citizens and customers

- A public service where people-values reinforce the wider range of Public Service Values.
- Establishes workplace relations that value communication, consultation, co-operation and input from customers as well as employees on matters that affect their workplace.

4.1.2. Transparency

The need for greater transparency in the public sector is a call that continues to be made and in that context, Transparency means that the public sector:

- An entity in which decisions that are taken can be clearly explained to all stakeholders especially the public.
- An entity where the public interest supersedes private individual interest.
- Openly accountable for its actions, within the framework of Ministerial responsibility to the Government, the Parliament and the public.
- An entity where public officers strive to ensure that the value of transparency in government is upheld while respecting their duties of confidentiality under the law.

Application and Implementation

"We must not act dishonestly for administrative convenience or to conform to political arrangements."

(Cited in Understanding the Code of Conduct: Guide for State Servants – State Services Commission, New Zealand Oct.2010)

4.2 STANDARDS

A commitment to standards means that the public sector constantly renews its commitment to serve citizens by continually improving the quality of service, by adapting to changing needs through innovation, continuous learning, and by improving efficiency and effectiveness of government programmes and services. This means:

4.2.1 Service Standards

- Establishing standards that reflect a commitment to excellence.
- Promulgating standards in a manner that all stakeholders can understand.
- Monitoring the delivery of service to promote compliance with standards that have been set.
- Adjusting standards to suit changes in customer expectations and capacity.

4.2.2. Service to the Public

- Dealing with the public fairly, efficiently, promptly, effectively and empathetically.
- Establishing points of delivery for service which emphasize convenience to the public while maintaining a focus on value for money for taxpayers.
- Treating all customers, both internal and external, with respect and courtesy.
- Avoiding discrimination on any basis whatsoever.
- Respecting the privacy of customers and clients.

> **Application and Implementation**
>
> *"…not harassing, bullying or otherwise intimidating members of the public or colleagues."*
>
> (Understanding the Code of Conduct: Guide for State Servants – State Services Commission, New Zealand)

4.3 CAPACITY

Capacity in the public sector can be defined as the ability of the permanent administrative machinery of the state to implement policies, deliver services to the public, and provide policy advice to decision-makers.[13] The term 'capacity' is understood to mean the ability of the public service to act effectively on a sustained basis in pursuit of its objectives, and thus from a broad perspective this section represents two fundamental features of public sector capacity i.e. *policy capacity* – the ability to manage the decision making process and *implementation capacity* – the ability to carry out decisions and enforce rules within the public sector. These overarching themes are embedded in the following three Core Principles of the Conceptual Framework, namely, Competency-based HR management and Development; Leadership; and Organisational management and development.

4.3.1 Competency-based HR Management and Development

Competency-based HR management and development is a management methodology that standardizes and integrates all HR activities based on competencies that support organisational goals. In recent times there has been a very heavy focus on the development and application of competencies to enable organisations, through effective strategies, to develop human resources, optimize resource allocation, improve services, and create efficiencies. In the public sector this is being achieved through increased employee engagement, defined performance expectations, re-engineered internal processes, and the maximization of the use of limited resources.

The integration of competencies into HR functions and the use of competency frameworks in the public sector are particularly beneficial in terms of facilitating:

- A public service in which employment decisions are based on merit

Application and Implementation

- *Service Commissions must ensure that their regulations and policies incorporate modern human resource management practices in areas such as recruitment, talent management, performance management and succession planning*
- *Put into practice Competency-based Performance Management Systems*
- *Establish Management Accountability for Top managers*

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[13] Charles Polidano, IDPM, University of Manchester, UK, 1999

- Recruitment of the right people through cost effective, consistent, fair and open processes
- A workplace that is free from discrimination
- Deployment of the right people in the right jobs
- Leadership of the highest quality
- Achievement of results and managing performance
- Continuous and targeted learning and development
- Assessment of performance against a well-defined set of behaviours, skills and knowledge
- Retention of the right people by developing them in the right way and linking competence to organisational performance
- Rewarding of the right people appropriately through measurable competencies linked to personal and organisational performance
- Management of the workforce and succession planning in an objective manner
- The fair treatment of men and women through gender equality; and the provision of fairness and justice in the distribution of benefits and responsibilities between women and men through gender equity
- Frame of reference for the delivery of services in a fair, effective, impartial and courteous manner, sensitive to the diversity of the population

In order to develop a public service that is competency-based, results-oriented and provides efficient and effective services to citizens, there must be deliberate focus on the changes that are required to be implemented in the public service. However, sustaining change in the public service, modernising systems related to the management and development of human resources, maintaining standards and identifying emerging concerns, require a strong central agency removed from operational responsibilities and insulated from political pressures, and here Service Commissions must take the leading role.

Application and Implementation

Mandates for Public Service Commissions are provided in national Constitutions and Acts of Parliament.
Commissions are empowered to execute appointments, promotions, transfers, discipline, separation and complaints-handling functions and related HRM services.

Report on the 2nd Regional Conference for Caribbean Public Service Commissions 2010 - CARICAD

In recent years, CARICAD has brought together public service commissions in regional fora to collectively rethink the role and functions of Public Service Commissions in the 21st Century, to identify and discuss systems and processes that can be used to promote effective governance, to learn from international and regional best practice and to promote a network to enhance collaboration and cooperation. The need for harmonised regulations has also been reiterated and this was captured succinctly by Mr. Emile Ferdinand QC, during his presentation at the first Regional Conference of Public Service Commissions:

> *"We in the Caribbean must stop trying to reinvent the wheel. There should be a sustained effort at having more uniform rules, regulations, and procedures governing the public service itself and also the operations of the PSCs throughout the Commonwealth Caribbean"…   "Only a sustained Caribbean-wide regional approach holds any hope for the engendering and development of best practices appropriate to both our historical and current realities."*

4.3.2 Leadership

There are many definitions of leadership and theories of leadership which have evolved over time. Similarly the change in thinking relating to Public Sector Reform, Modernisation, New Public Management and Transformation would all have impacted on the perception of what leaders in the public sector should be and do. One of the most recent evolutions of thought on leadership is the Transformational approach. The Transformational approach represents a good fit for the six Pillars of effective public sector transformation promulgated in the Conceptual Framework and this Implementation Guide i.e. Governance, Standards, Capacity, Accountability, Openness and Legislation.

A Transformational Leader goes beyond managing day-to-day operations and crafts strategies for taking the organisation, department or work team to the next level of performance and success. Transformational leadership styles focus on team-building, motivation and collaboration with employees at different levels of an organization to accomplish change for the better. Transformational leaders set goals and incentives to push their subordinates to higher performance levels, while providing opportunities for personal and professional growth for each employee[14].

Transformational Leaders challenge processes that need to be improved the most; inspire a shared vision in words that can be understood at all levels; enable others

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[14] http://smallbusiness.chron.com

to act by supporting followers to solve problems; model the way and lead by example; and share credit.

Application and Implementation

- Model the Transformational Approach to Leadership.
- Integrate the principles of Leadership and Management such that results are achieved by a highly motivated team of persons.
- Recognize that top managers can play a significant role in the development of younger persons through formal and informal mentorship initiatives.
- Invest in targeted Leadership Development programmes for persons at all levels.

The Transformational leader influences followers to achieve consistent organisational results while maintaining a culture of teamwork and high performance at both individual and organisational levels.

While having the right governance structures and processes in place is important, it is an entity's people who achieve excellence and drive change. A vital role for senior executives is to set the right tone at the top to reinforce values, enthusiasm for good governance and a focus on performance and accountability.[15]

4.3.3 Organisational Management and Development

In order to create a sustainable environment for performance there are a number of organisational development and design features relevant to delivering performance outcomes. Organisation management and development as a holistic concept is a deliberate effort intended to increase organisational effectives through planned interventions. It involves a number of interventions including: organisation diagnostics, structural reviews, organizational design, institutional capacity assessments, HR processes, culture change, change management, leadership development and team building, among others.

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Over the years, public sector organisations in the Caribbean region, through reform and modernisation initiatives, have invested heavily in change programmes or organisational development interventions some of which, for one reason or another, may not have been successful in delivering improved performance in a sustainable way.

If public sector transformation is to be successful, greater emphasis needs to be placed on understanding the machinery of government as an open system. There is also the need to define structures and systems in a manner that promote good governance so as to enhance the legitimacy of public policies, development plans and decisions at every level.

This means becoming *au fait* with the interconnected structures and processes of government, such as the functions and accountability of departments, governance arrangements, and how they work together in a coordinated and harmonised way to deliver results.

Application and Implementation

- Conduct Diagnostic Analyses, Organisational Capacity Assessments and Business Process Analyses
- Undertake technical and structural activities focusing on the design of organisations, technology and inter-relationship of design and technology with people on the job
- Carry out Process consultations to develop an understanding of decision-making and leadership processes
- Undertake Intergroup and Team Building Activities to improve relationships and promote cooperation
- Conduct Surveys to measure perceptions and attitudes

Current research suggests that there is a need to review and adapt the machinery of government. This is important in responding to government's policy priorities, environmental pressures and opportunities for better performance. It will require the utilization of a systems approach in organizational diagnosis and an understanding and appreciation not only of the impact of the environment on organisational effectiveness and design, but also organisational behaviour as it relates to individual motivation, productivity, and performance.

4.4   ACCOUNTABILITY

The Public Sector works for the common good within an ethical framework such as that embodied in this Implementation Guide. One of the most important Pillars of public life is Accountability. The public sector must be prepared to answer to the public for decisions and actions taken and be subject to scrutiny appropriate to the nature of specific activities. This means conforming not only to legal and policy requirements but expectations of the public with regard to openness, transparency, fairness and integrity.

A focus on Results-oriented Planning, Consultation and Collaboration and Evidence-based Policy Management will promote high levels of accountability.

4.4.1 Results-Oriented Planning

Results-oriented planning involves an approach which focuses on results that, when achieved, satisfy stakeholders with respect to targets that have been set. It also involves shifting management's attention away from a focus on inputs, activities and processes to a focus on outputs and benefits.

Research suggests that public sector organisations that consistently use a corporate or strategic planning approach which systematically links vision, mission, values, goals, resources, performance indicators, responsibilities, targets and timeframes achieve a high level of performance on a sustained basis. Plans should always be integrated with budgets and available financial resources

Results-oriented planning in the public sector is built on a holistic approach including operational planning, performance measurement, implementation, monitoring and evaluation, all of which are critical management tools for managing for results. Increasingly departmental corporate/strategic plans and a fresh approach to linking strategic planning to the budgeting process in the public sector should be embraced to ensure that financial resources, policy decisions, department operations and human resources are all aligned to achieve the results outlined in national development plans.

The reality and management of risk must be taken into account in results-oriented planning. Risk should not be isolated from strategy, innovation, governance procedures and human resources management processes. The concept of Risk is linked both to the inherent vulnerability of all societies to a variety of natural and human-caused hazards but also dramatic changes in operational environments. The Caribbean is one of the most vulnerable regions to natural hazards in the world. Additionally the vast majority of countries in the region are Small Island Developing States with open economies vulnerable to the vicissitudes of global economic vagaries.

Application and Implementation

- Management and staff should work together to accomplish a shared vision:
  - ✓ Desired results: What is it we're trying to do? What outcomes do we want — both quantitative and qualitative — and by when?
  - ✓ Guidelines: What are the parameters within which we're trying to do it? What are the essential values, policies, legalities, ethics, limits, and levels of initiative to be aware of in going after the desired results?
  - ✓ Resources: What do we have to work with? What budgetary, systemic, and human help is available and how do we access it?
  - ✓ Accountability: How do we measure what we're doing? What criteria will indicate the accomplishment of the desired results? Will they be measurable, observable, or discernible, or some combination of the three? To whom are we accountable? When will the accountability process take place?
  - ✓ Consequences: Why are we trying to do it? What are the natural and logical consequences of accomplishing or not accomplishing the desired results? (Stephen Covey in First Things First)

- Submit timely progress reports.

- Submit audited financial statements where required.

4.4.2 Consultation and Collaboration

Citizens expect to be consulted by democratically elected governments either directly as individuals or collectively in representative groups such as the private and non-state sectors.

This applies particularly to investment and development projects which may have long-term implications at the individual, household, community and national levels. Increasingly, Ministries, departments and agencies of governments are developing structured approaches to consultation with stakeholders which affords them an opportunity to influence final policy decisions. Increasingly, such consultations are best conducted as collaborative efforts across portfolio responsibilities and agency mandates because of the far-reaching effects and ultimate outcomes. Such structured approaches to consultation are strongly encouraged by agencies operating at the highest global and regional levels.

Consultations should become standard operating procedure for public services in the Caribbean. In cases in which they are already part of the national planning process, they should be maintained. In other cases, they should be planned and introduced with a sense of urgency based on principles and good practices such as those identified in the Application and Implementation frame on this page.

Application and Implementation

- The public should have a say in decisions about actions that could affect their lives.
- Public participation includes the promise that the public's contribution will influence the decision. Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.
- Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision.
- Public participation provides participants with the information they need to participate in a meaningful way.
- Public participation communicates to participants how their input affected the decision.

Source: International Association for Public Participation, www.iap2.org

Application and Implementation

- Establish or maintain Guidelines and Rules of Procedure for the operations of the coordinating mechanisms such as Committees of Permanent Secretaries and Senior Public Sector Management Boards (including Statutory Entities).
- Establish and maintain strategic cross-Ministry coordination and collaboration to facilitate discussion and decision on specific issues.
- Institutionalize regular Staff meetings at all levels with follow-up actions recorded and monitored for implementation.

Inter and intra Ministerial consultations and collaboration also require a structured approach including but not limited to fora such Committees of Permanent Secretaries and Senior Management Teams. Such fora can coordinate inter-ministerial and inter-agency implementation of Governments policy initiatives by ensuring the requisite level of joint planning, collaboration, consultation, monitoring, evaluation and reporting.

The more a particular stakeholder group is materially affected by the component of the project, the more important it is for them to be properly informed and encouraged to participate in matters that have a direct bearing on them[16].

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[16] http://www.ifc.org - Stakeholder Consultation

4.4.3 Evidence-based Policy Management

Policy development or policy making refers to the process of making important organisational decisions, including the identification of different alternatives such as programmes or spending priorities, and choosing among them on the basis of the impact they will have.

Good policy-making relies on evidence. An evidence-based approach is fundamental to the process of decision making as it relates to policy management. The absence of such evidence can result in poor decision-making with the inevitable consequences of poor Outcomes.

This means that agencies contributing to policy decisions should establish and maintain the capacity to provide accurate, reliable and comprehensive data and information as it relates to portfolio responsibilities or mandates. There are many methods of evidence collection but essentially they are either quantitative or qualitative. In particular, qualitative evidence is important when persons will be directly impacted at the individual, group or community level by a policy decision.

Application and Implementation

- Improve the capacity in the public sector for research, the utilization of data/information and policy development.
- Develop or maintain a documented structured approach to the management of policy requiring the determination and expression of the particular interests of the Country through the conduct of studies, the analysis of the relevant documents and the staging of consultations.
- Establish or enhance the role of Policy Coordination and Evaluation Units.

4.5 OPENNESS

Openness in the public sector has come to be regarded as a pillar of modern democratic governance. Openness means that citizens have not only an opportunity but a right to know what decisions have been taken in their name or in their interest. It also suggests that such information must be made available in a timely manner. It also means that information will be provided describing and explaining how publicly-owned resources or publicly financed inputs are used. Openness relies on the sharing of accurate, factual, comprehensive and relevant information as a means of promoting accountability at all levels of the public sector without jeopardizing national security.

Application and Implementation

"The world is witnessing the growth of a global movement facilitated by technology and social media and fueled by information – one that contains enormous potential to create more accountable, efficient, responsive, and effective governments and businesses, and to spur economic growth. Open data sit at the heart of this global movement."

Source: G8 Open Data Charter

4.5.1 Information and Knowledge Management

Information and **Knowledge** are distinct but closely related concepts:

Information is data that can be used for action or decision making. It refers to sources that are current or historical.

Knowledge is information that resides in the human brain. In an organisational setting, knowledge increases value for the organisation and its stakeholders[17].

Knowledge Management emerged as discipline during the last twenty (20) years. It is defined in different ways by different authors but the definition shown below is popular.

> *A discipline that promotes an integrated approach to identifying, capturing, evaluating, retrieving and sharing all of an enterprise's information assets.*

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[17] Journal of Knowledge management Practice, Vol. 8 No. 2 June 2007

Application and Implementation

Public Data Principles
- Public data from different departments about the same subject will be published in the same standard formats and with the same definitions.
- Public data underlying the Government's own websites will be published in re-usable form.
- Public data will be timely and fine-grained.
- Public data will be published using open standards.
- Public data will be published in re-usable, machine-readable form.
- Release data quickly, and then work to make sure that it is available in open standard formats, including linked data forms.
- Public bodies should actively encourage the re-use of their public data.
- Public bodies should maintain and publish inventories of their data holdings.
- Public bodies should publish relevant metadata about their datasets and this should be available through a single online access point; and they should publish supporting descriptions of the format provenance and meaning of the data.
- Public data will be freely available to use in any lawful way.

Source: UK Public Sector Transparency Board, 2012

These assets include databases, documents, policies, procedures and previously un-captured expertise and experience in individual workers.[18]

The revolution in technology driven by accelerated advances in Information and Communication Technology and the Internet during the last thirty (30) years have among other things resulted in a more concerted and strident call for the process of government to become more open. In particular the demand for Open data and improved Information and Records management has been particularly strident. Sharing accurate and comprehensive information about government operations in a timely manner and more readily available and has come to be regarded as one of the tenets of effective and transparent government.

It can be argued that the demand for open government in democratic societies has evolved over a very long time but the desire for less secrecy and more accountability is now greater than it has ever been. It has resulted in the G8 countries promulgating an Open Data Charter in 2013. That Charter establishes a framework for Open Data that public services in the region should embrace.

Modern technology has dramatically improved Information and Knowledge Management in all spheres of activity especially in the public sector where information and records can be of vital concern and may be irreplaceable if lost.

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[18] IR information research Vol. 10No.4, July 2005 – Information and Knowledge Management: dimensions and approaches – by Christian Schlogl – University of Information Science University of Graz, Graz Austria

4.5.2 e-Government

A priority for most governments is to continually transform policies and programmes to serve the citizens better and achieve operational efficiencies. It involves integrating their policies, processes and services. The integrated solutions need a 'whole of government' approach to business redesign that links national priorities, government activities and citizen-focused outcomes, enabled with rigorous information management practices and professionally managed applications of information and communication technologies (ICT) in governments.

The use of ICT in government improves decision- making, responsiveness to change, service transformation and their delivery, and making government work better. The value of ICT is undeniable in achieving transformational outcomes. Programmes and services need to be harmonised in their definition and description irrespective of their administrative and jurisdictional divisions.

The methodology should also provide a common approach to building stakeholders' engagement, consensus building, risk management, inter-jurisdictional cooperation, business continuity and accountability requirements.

The greater use of ICT can lead to:
- Efficiency in government **–** reduction in government operating expenditures
- Multiple channel citizen access to government information and services through several ICT enabled delivery channels
- Citizen centric government information and services made available in a consolidated and standardized fashion

Application and Implementation

- Support programmes that aim to change the culture, skills, governance and financial arrangements in public sector agencies to support e-government;
- Standardize ICT architecture to permit interoperability
- Standardize ICT procurement systems
- Advocate vigorously at the technical and administrative levels for the greater use of ICT in service delivery across the public sector
- Develop acceptable privacy and security safeguards, including authentication;
- Create or maintain an enabling legal environment
- Conduct BPR analyses of critical processes and re-design in line with findings
  Source: CARICAD

eGovernment has great potential to revolutionize the performance of Caribbean governments and revitalize democracy. It can fundamentally recast the connection between people and their government and between Governments of the region. Also, it can make government far more responsive to the needs of the people and allow them to actively participate in the democratic process.

Business Process Re-engineering BPR

"Business Process Re-engineering (BPR) is the fundamental reconsideration and radical redesign of organizational processes, in order to achieve dramatic improvements of current performance in cost, speed, and quality of service" - Dr. Michael Hammer.

BPR underpins a commitment to wholesale changes in the way processes work:

- Fundamental rethinking
- Radical design
- Dramatic improvements

BPR can determine the IT system requirements and the most efficient organisational architecture. BPR is based on the identification of customers' needs to drive a process of redesign. It harnesses the power of ICT to create processes that efficiently meet new standards of service.

Application and Implementation

Basic Principles of BPR

- Organize around outcomes, not tasks.
- Identify all the processes in an organization and prioritize them in order of redesign urgency.
- Integrate information processing work into the real work that produces the information.
- Treat geographically dispersed resources as though they were centralized.
- Link parallel activities in the workflow instead of just integrating their results.
- Put the decision point where the work is performed, and build control into the process.
- Capture information once and at the source.

Source: J Satyanarayana, Workshop under the Joint Economic Research Program (JERP)

4.6 LEGISLATION

The common colonial experience gave rise a juridical system that was similar from territory to territory. Additionally, the process of regional integration requires the harmonization of some legislation. Public sector transformation will require the updating of laws and regulations.

Countries can benefit greatly from information sharing in this regard such that the process of modernisation of laws can be enhanced.

Application and Implementation

- Review existing Public Sector legislation and regulations
- Introduce modernized legislation
- Ensure the enactment of Regulations to accompany Legislation
- Harmonise legislation where required

CHAPTER 5

Cross Cutting Challenges and Opportunities

5.1 Leadership in the Public Sector

Authentic Public Sector Transformation is the outcome of robust collective action, fair and effective institutional responses, professionalism and visionary direction that extends to both leadership and managerial positions in political and administrative systems.

The importance of strategic and transformational leadership at all levels for effective public sector transformation cannot be understated as that kind of leadership is crucial for defining and achieving objectives that reflect a clear purpose, and is based on shared goals and values. The challenge generally facing this kind of leadership in public sector organisations in the Caribbean region is compounded by the history and institutional context, and uncertainties and complexities that are now characteristic of the 21st century.

> ### Application and Implementation
>
> *The Transformational Leadership process ultimately requires an acceptance of new ways of doing things, and success depends on managing change processes skilfully, and capability to overcome the "unpredictable" challenges that all change reforms have at some point or the other in the process*. (World Bank)

The issue of leadership is very current in conversations and programmes in the region in relation to improving performance and professionalism in the public sector. Such a focus is commendable for the region, however the manifestation of a transformational approach to leadership must be evidenced in the application of the Core Principles and Strategic Priorities such as those proffered in this Implementation Guide.

In order to create an enabling environment for the application of the guiding principles on which the Charter for Caribbean Public Services is founded, the public

sector must move beyond its tendency to rely on leadership approaches that are low-risk to approaches that are more proactive and visionary.

5.2 Change Management

Change management is broadly defined as "the process of helping people understand the need for change and to motivate them to take actions, which result in sustained changes in behavior". [19]   Change management means planning, initiating, controlling, and finally stabilizing change processes on both corporate and personal levels. Change may cover such diverse problems as, for example, strategic direction or personal development programmes for staff.[20]

Public Sector Transformation is not only about the design and institutionalization of structures, systems, processes and training. Transformation is about change and adaptive leadership at all levels in the Sector. Therefore, adapting and implementing activities related to each of the six Pillars of the Conceptual Framework will require a change management effort. In some cases, the change process will be initiated when authorities decide to improve transparency, introduce new technology, approve new legislation or regulations; or redesign institutional frameworks and operations to comply with up-to-date norms. Transformation will also require changing the culture, and aligning existing regulations and practices with international best practice.

Application and Implementation

The Kotter Change Model

Source: http://www.robertrichman.com/

Experience has demonstrated that change in relation to transforming the public sector can be a protracted process. Commitment will therefore be necessary at all levels to a long-term programme of improvement and change to boost the standard

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[19] http://siteresources.worldbank.org/ World Bank Public Sector and Governance resources, 2015
[20] Oliver Recklies cited in World Customs Journal Vol2 #2

of public services and make them more responsive to the needs of customers and stakeholders.

In order to develop a realistic change management programme, it is important to assess the readiness for change and commitment of leaders, identify relevant stakeholders and potential risks/resistance to change[21].

Continuous awareness campaigns among all the stakeholders will be essential in order to overcome the inhibiting implementation factors. These awareness campaigns should be designed and delivered innovatively and effectively. This means that skills may have to be built in change management as part of the process of capacity development.

It should be noted that the scope of change management initiatives will be different depending on the country and transformation context.

Finally, in implementing the Charter, several key change tools have been identified for facilitating the process:

- Aligning national vision to proposed organisational changes
- High level Political support
- Committed leadership at all levels
- Capacity Development
- Dialogue and consultation among stakeholders
- Clear communication strategy
- Gradual implementation process to allow cultural adaptation

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[21] http://siteresources.worldbank.org/ World Bank Public Sector and Governance resources, 2015

5.3 Teams and Teamwork in the Public Service

The hierarchical structure of the public service and the separation of Ministries by portfolio suggest that the highest levels of performance and effectives are achieved through teamwork. A hierarchical structure promotes accountability which is critical for the public sector but it is not an organisational architecture that promotes teamwork. In that context it means that teamwork should be seen as a part of the culture of the organisation if the benefits of teamwork identified below are to be realized.

Effectiveness
Teams are usually established with a specific set of objectives. Achievement of objectives is the basis of meting overarching goals. Effectiveness is based on achieving goals. Providing services requires the production of outputs.

Efficiency
The pooling of skills tends to generate a synergistic effect that enables teams to be more efficient that a disparate group of individuals rely on each person's singular effort.

Service
Organisations that rely on teamwork often have culture that emphasizes a commitment to excellent service as part of their ethos.

Morale
The emotional bonding that is a natural part of teamwork often results feeling that they are contributing to the success of the organisation. That sense of accomplishment is one of the most powerful sources of motivation for workers. The level of professional trust is often high in teams.

Accountability
Teams are often able to generate high levels of accountability among members since most people to do not want to convey an impression that they are letting down the team.

Capacity Development
Teams usually comprise individuals who have different levels of skills, experiences and qualifications. It is often that case that individuals learn from each other and individual capacity improves while group performance improves.

Creativity
Many of the best ideas in organisations result from brainstorming and collaboration among teams.
The related concepts of High Performance Teams and High Performance Organisations [22] represent a strategic approach that can be used to enhance teamwork in the public sector.

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[22] http://www.centerod.com/2012/02/traditional-high-performance-orgs/

High Performance Teams
The concept of the High performance team is widely held however there is considerable variation of opinion about the characteristics of such teams but there are some core features widely ascribed to such teams
- Shared vision
- Visionary leadership
- Synergistic composition
- Results focus

Commitment to quality and results: High-performance teams have a shared commitment to quality and results. They focus on achieving the highest standards and the best outcome, and are aligned behind achieving this goal.

High Performance Organisations
The public sector as it modernizes should move away from the features of traditional organisations to those features that will make it a High Performance organisation. The contrasting features are shown below for ease of reference.

Traditional Organization	High Performance Organization
Internally focused	Customer focused
Top-down control, bureaucratic structure	Autonomous, self-regulating work units
Planning and coordination done by management	Planning and coordination done by work teams
Specialization and narrowly defined jobs	Jobs are broadly defined and employees possess multiple skills
Unclear processes and procedures	Documentation and clarity of core processes and procedures
Rigidity: there is one single best way to do a job	Flexibility: many ways to achieve same level of performance
Uniform and strictly enforced policies; Do things by the book	Minimum of rules. Values and common sense govern behaviour
Department boundaries determined by function (e.g. Engineering, Manufacturing, etc.)	Department boundaries determined to leverage competitive advantage (task inter-relationship, customer, product or process focused)
Training focuses on technical skills	Training focuses on total employee development (e.g. business understanding, teamwork, etc.)
Rewards based on individual performance	Rewards based on contributions to effectiveness of team.

5.4 Continuity with Change of Administrations

The conceptual and structural underpinning of the West Minister/Whitehall model of the public sector is that public officers are professional, impartial and politically neutral. Changes in political administrations should not therefore impact on the commitment and performance of those officers. The reality of the modern Caribbean experience is that there is a political milieu which can challenge that desired culture of neutrality and impartiality. This includes individuals serving as Advisers to Ministers alongside Permanent Secretaries; large numbers of Unestablished or of Non-Established employees who do not come under the authority a Public Service Commission and a tendency towards patronage in employment opportunities.

This Charter is designed to promote high levels of professional commitment as a more relevant form of service than party-politically-based loyalty. Public officers are expected to give the best advice they can at all times. They are also expected to implement the policies of the government of the day whether they as individuals agree with the policies or not. It is accepted that public officers who are requested to compromise their integrity have the right to refuse to do so.

The General Principles International Code of Conduct for Public Officials reinforces the manner in which public officers are expected to work:

1. A public office, as defined by national law, is a position of trust, implying a duty to act in the public interest. Therefore, the ultimate loyalty of public officials shall be to the public interests of their country as expressed through the democratic institutions of government.

> ### *Application and Implementation*
>
> This Charter advocates a mantra of professionalism for all public officers that is expressed in behaviour and performance that is:
>
> - Based on ethics
> - Competent
> - Confidential
> - Honest
> - Impartial (not driven by hidden political agendas)
> - Trustworthy
> - Respectful
> - Accountable
> - Empathetic

2. Public officials shall ensure that they perform their duties and functions efficiently, effectively and with integrity, in accordance with laws or administrative policies. They shall at all times seek to ensure that public resources for which they are responsible are administered in the most effective and efficient manner.

3. Public officials shall be attentive, fair and impartial in the performance of their functions and, in particular, in their relations with the public. They shall at no time afford any undue preferential treatment to any group or individual or improperly discriminate against any group or individual, or otherwise abuse the power and authority vested in them

5.5 Intra-CARICAD Member State Collaboration

Development of the Charter is an Output of the current CARICOM Strategic Plan. CARICAD is identified as the Implementing Agency. This suggests that the approach to implement the Charter (once approved by Heads of Government) will be coordinated regional programmes which will extend for several years because implementation of the Strategic Priorities of the Charter may take several years.

Article 3 of the Agreement under which CARICAD was established states inter alia:
> The general objectives of the Centre (CARICAD) shall be rendering assistance the countries of the Caribbean area for the purpose of improving their administrative capability to accelerate their social and economic development.

The Agreement also states:
> Provide technical advisory services on development administration to the governments and multinational agencies of the region and to assist them in their programmes of administrative development.

The Agreement further states:
> Improve administrative capacity of public servants in the region.
> Seventeen (17) of the twenty (20) beneficiary States are already member states of CARICAD.

This means that CARICAD is ideally placed to support a coordinated programme for implementing the provisions of the Charter by undertaking such actions as:

- Establishing the baseline status of member states relative to the Pillars, Core principles and Strategic Priorities
- Sourcing Resource Persons to facilitate Capacity Building initiatives in member states
- Proposing a template for a Transformation Strategy
- Facilitating Strategic Planning sessions for Ministries of the Public Service in member states
- Functioning as a coordinating mechanism for efforts to harmonise and standardize procedures
- Functioning as a coordinating mechanism for high level consultations of public sector officials with representatives of the private sector and civil society
- Providing a repository and clearing house for information for information relating to implementation of the Charter
- Hosting and coordinating attachments for public officers to support the acquisition of skills
- Collaborating with other agencies and institutions that are helping to build capacity in the public sector in the region

- Monitoring progress towards the achievement of goals under the Charter as established by member states.

5.6 Innovation

The concept of innovation to improve competitive advantage in the private sector is well established. The nature of public services and the historical structure of the public service did not result in a similar commitment to Innovation. The nature and pace of global technology enable change suggest that Innovation must now be regarded as one of the Strategic Priorities of Transformation in the region.

The concept of Innovation is tied not only to the development of new ideas but to the implementation of new ideas in an environment that produces desired outcomes for the public.

Research has demonstrated that the overall culture of an organisation will have a major impact not only on its commitment to innovation but on the level of effort to generate and implement new ideas. A commitment to Innovation not only means generating and implementing new ideas within an organization but adopting and adapting new ideas that arise outside the organisation.

5.7 Technology

Modern technology is contributing significantly to development and service improvement globally. In that regard the CARICOM Heads of Government mandated the development of the CARICOM ICT 4 D Strategy in 2009. It was approved in 2011. The significance of technology is reflected in the brief description of the Strategy provided by the CARICOM Secretariat on its website:

> *The focus of the strategy is on ICT as an instrument for strengthened connectivity and development to foster greater prosperity and social transformation between and among member states, as well as the rest of the world.*
>
> *In CARICOM, there is a continuing focus on mainstreaming ICT activities and developments to effectively contribute to the achievement of the Millennium Development Goals, particularly those related to income poverty reduction, education, and health, environment and gender equity through:*
>
> *Creating economic opportunities and contributing to poverty reduction*

> *Managing the processes of providing basic services (e.g. healthcare, education) at lower cost and with greater coverage*
>
> *Facilitating access to information and the involvement of regional organisations and stakeholders through greater transparency and support to networking at every stage; and*
>
> *Enhancing the capacity to measure, monitor and report progress on the goals and strategies.*

Application and Implementation

"*Recognizing that modern technologies have enabled new methods of engagement, knowledge dissemination, participation and consultation. Further recognizing the potential of those technologies to reduce inequalities in access to information and services and;*
recalling the commitments made under the CARICOM Charter for Civil Society, states undertake to optimize their use of technologies to promote openness and accountability, to foster continuously greater cost-effectiveness in their operations, ensure responsiveness to the needs of people as consumers of in the states' delivery of goods and services and ensure that the public services are adaptive and innovative as the societies they serve develop and evolve. Subscribing states further commit to using all appropriate technological means to establish ongoing systems of consultation which further the participation of people in democratic processes especially the development of policies that directly impact on their lives and well-being." -- CARICAD

CHAPTER 6

Endnote

This Guide suggests that a new vision is envisaged for the public sector in the region with new approaches to work and service delivery – strategies, plans, processes procedures, regulations and systems. It also suggests that significant changes to organisational cultures will be needed with a concomitant change in attitude. Such changes are dramatic and fundamental and need to be sustained to promote the institutional resilience required for sustained delivery of improved services. However it is anticipated that countries will build on existing initiatives where they exist and introduce them where they don't.

Both the Charter and this Guide provide a framework for collaborative action to advance the process of Public Sector Transformation. The Charter will provide a common platform for the design of national programmes based on the realities and peculiarities of each country. The Implementation Guide is a framework and not a blueprint. It is expected that countries will review, revise or develop public sector transformation strategies against the Pillars and Guiding Principles.

In addition to providing a framework for transformation the Implementation Guide offers practical real-world suggestions for public sector leaders, managers and supervisors to consider in implementing strategic priorities. The suggestions are based on global good practice, research and the collective experience of public sector managers and leaders in the Caribbean region.

Implementation of the suggested changes will require a high level of integrity and professional discipline, leadership, teamwork and cross-agency cooperation. It is

Application and Implementation

"The global economic and financial crisis, climate change, an ageing population, health and natural-disaster emergencies and heightened citizen expectations for public services are some examples of circumstances requiring policy responses that do not fit neatly into any one organization's competencies. Good policy and government programmes now depend on joint action where administrations work in a coordinated and collaborative manner across boundaries, sometimes across jurisdictions and often across levels of government. However, current government structures and policy toolboxes have not kept pace with this growing complexity, leaving governments ill- prepared and struggling in a new operating environment."

Source: Rolf Alter- Director, Public Governance and Territorial Development, OECD

hoped that all countries will accept that although this Implementation Guide is not intended to be a manual, that it provides suggestions that can be used to develop strategies and plans that if implemented conscientiously will achieve the desired Outcomes of public services that are responsive, resilient, and sustainable with an unshakable citizen-oriented focus.

Regional public sector officials are encouraged to embrace the approach to public sector transformation promulgated in this Guide. Although the Charter was inspired by the Ibero-American Charter, it should be embraced as an initiative by Caribbean people for the people of the Caribbean. It is an initiative that was not imposed upon the Region but conceptualized and completed by the people of the Region under the technical guidance and input of our own regional institution set up to support public sector transformation – The Caribbean Centre for Development Administration CARICAD.