



**IMPROVING THE SYSTEM FOR ASSESSING  
THE EFFECTIVENESS OF THE ACTIVITIES  
OF ADMINISTRATIVE CIVIL SERVANTS  
AND STATE BODIES**

Improving the system for assessing the effectiveness of the activities of administrative civil servants and state bodies. – was done under the supervision of Zeinelgabdin A.B., Junusbekova G.A., Kazakhstan, Nur-Sultan, 2020. 199 p.

The study “Improving the system for assessing the performance of administrative civil servants and state bodies” was carried out by the Academy of Public Administration under the President of the Republic of Kazakhstan (hereinafter - Academy) as part of a project of the Astana Civil Service Hub (hereinafter - Hub) to support the Scientific School of Public Administration.

This research report is available on the Hub’s website in the author's edition in three languages. In case of queries, it is advised to address the original version in Russian or contact the heads of the research team.

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## ANNOTATION

Evaluation of the effectiveness of the activities of state bodies, achievement of goals, interaction of the state body with individuals and legal entities, organizational development, evaluation of the effectiveness and efficiency of the activities of administrative civil servants.

**The aim of project:** Substantiation of new approaches, methods and recommendations for improving the current mechanism for assessing the effectiveness of the activities of administrative civil servants and state bodies.

**Method of work:** For the study, the methods of system analysis, SWOT analysis, MatrixImportant / Influence, Problem Tree, the method of expert assessments with in-depth interviews, as well as methods of logical and comparative analysis were used. An important place in the study was given to the study of the experience of foreign countries in the practice of assessing the effectiveness of the activities of administrative civil servants and state bodies, which contributed to a more accurate substantiation of the results obtained.

### **Outcomes:**

A comprehensive analysis of the system for assessing the effectiveness of the activities of administrative civil servants and state bodies has been carried out. The results of the analysis showed systemic problems, including those concerning both the concept of the assessment system itself and the current methodology for assessing the activities of administrative civil servants and methods for operational assessment of a state body for each block: achieving goals, interaction of a state body with individuals and legal entities, organizational behavior.

Recommendations have been developed to improve the methodology for assessing the effectiveness of central state bodies in the block "Achievement of goals, including new criteria and new approaches in assessing the relationship between the goals of the strategic plan and budget programs. At the same time, for this block it is proposed to use the results of the performance audit. Introduce separate methods for assessing the performance of central state bodies directly subordinate and accountable to the President of the Republic of Kazakhstan" (or a separate section in the current methodology), subjects of the quasi-public sector and the National Bank of the Republic of Kazakhstan.

For the block "Interaction of the state body with individuals and legal entities", it was recommended that the criterion "Satisfaction of service recipients with the quality of the provision of public services" be allocated in a separate direction with a coefficient of 0.3; introduce the indicator "Automation of public services in the reporting period" not only for the CSO, but also for the LEB: add the criterion "Automation of public services" with the indicator "Proactive services"; exclude the indicators "Placement of draft concepts of draft laws"; "Placement of draft regulations"; "Correctness of filling out forms (completeness of fields, versioning, language layout" from the criterion "Open legal regulations". Introduce new indicators "Participation of public organizations in the discussion of legal regulations" and "Reliability and validity of data, providing the necessary initial data".

Instead of the indicator “Monitoring and consideration of proposals and user comments on draft regulatory legal acts and the results of regulatory impact analysis”, 3 indicators with assessment points are proposed: monitoring and analysis of proposals (2 points); development of recommendations on the proposals received (3 points); making proposals to the draft regulatory legal act (4 points); the proportion of users who are satisfied with the quality of the information received (1.5 points).

According to the criterion "Open data", additionally introduce a qualitative indicator "Reliability and validity of data, providing the necessary initial data". It is recommended to check the correctness of the formula for calculating the criteria: compliance with the terms of consideration of complaints and applications, the proportion of complaints and applications recognized as justified by a court decision (satisfied by the court), consideration of repeated justified complaints and applications. Replace the indicator "Internal control over the consideration of complaints and applications" (R 4) with an internal audit with the prospect of implementing Agile quality management technology, which is an integral part of project management. In the direction "Consideration of complaints and applications of citizens", introduce an additional criterion "One-time acceptance of documents from an applicant with a full package without the right to claim additional documents."

For the block "Organizational development" it is recommended to combine them into one single indicator "Net staff turnover" and "Stability of the staff" in the direction of "Human resource management". For the indicator "Net staff turnover" it is proposed to return the value of 0.09 (instead of the current 0.08), since an official (Employer) cannot influence the decision of a civil servant who decided to quit his job. When calculating, it is necessary to indicate only the number of dismissed civil servants who are appointed directly by the responsible secretary of the Ministry, in accordance with his powers.

When assessing the indicator "Training of civil servants", it is necessary to take into account that the number of civil servants who underwent training, advanced training, retraining in practice is always less, in contrast to the planned number of those to be trained, the reason is the absence or non-confirmation of the allocated budget funds by authorized bodies.

When adjusting the methodology, one should take into account the key functions of the subsystem such as planning the need for human resources, selection for civil service, which are completely absent today. It is proposed to bring the indicator "Strategic human resource planning" to the main criterion, which will allow state bodies to close such a significant gap in activities as the lack of a human resource management strategy. The indicator “Use of the “E-kyzmet ” system is attributed to the direction of “Application of information technologies”. According to the criterion “Labor organization”, when assessing “Labor standardization”, the following target indicator “Average duration of working hours ” is proposed for consideration. there are proposals concerning the issues of conducting a survey of civil servants and the organizational aspects of their activities.

In terms of improving the system for assessing the performance of administrative civil servants of Corps "B", the need to integrate the assessment system of civil servants

into the strategic planning system of the state body, the introduction of a balanced scorecard, the formation of a competency profile of a civil servant, the construction of a career planning system, performance assessment and based on competencies by the 360-degree method, recommendations were developed to improve the assessment system, in terms of process automation, it was proposed to rank the assessment of the effectiveness of civil servants depending on the level of activity, criteria were developed for assessing the effectiveness of the achieved indicators of the KPI and competencies, a method for calculating amendments to the Standard Methodology for Evaluating the Performance of Administrative Civil Servants of Corps "B" and an implementation algorithm is proposed.



## ABBREVIATIONS AND SYMBOLS

ARKCSA	The Agency of the Republic of Kazakhstan for Civil Service Affairs
ARKCSAAC	The Agency of the Republic of Kazakhstan for Civil Service Affairs and Anti-Corruption
JSC	Joint-stock company
AP	Administration of the President
PPB	Public Participation Budget
GDP	Gross Domestic Product
ILEISB	Individuals and Legal Entities Interaction State Body
EKR	The East Kazakhstan region
SPIID	State program of industrial and innovative development of the Republic of Kazakhstan for 2015-2019
CS	civil servants
ERSOP	unified register of subjects and objects of inspections
ERPTR	unified register of pre-trial investigations
The EU	European Union
WKR	West-Kazakhstan region
ICT	information and communication technologies
IDP	individual development program
IP	Information system
CLSSR GPO	Committee of Legal Statistics and Special Records of the General Prosecutor's Office
KI	key indicators
MIA	Ministry of Internal Affairs
MRCS	Ministry of Religious and Civil Society
MH	Ministry of Health
MHSD	Ministry of Health and Social Development
MFA	Ministry of Foreign Affairs
MIID	Ministry of Industry and Infrastructure Development
LEB	local executive bodies
MISD	Ministry of Information and Social Development

MCS	Ministry of Culture and Sports
MNE	Ministry of National Economy
MD	Ministry of Defence
MOS	Ministry of Education and Science
MA	Ministry of Agriculture
MIT	Ministry of Trade and Integration
MLSPP	Ministry of Labor and Social Protection of Population
MF	Ministry of Finance
MDDIAI	Ministry of Digital Development, Innovation and Aerospace Industry
ME	Ministry of Energy
MEGNR	Ministry of Ecology, Geology and Natural Resources
MJ	Ministry of Justice
NIH	national infocommunication holding
LRI	legal and regulatory instruments
NGOs	non-governmental organizations
NSPP	national school of public policy
ALC	additional liability company
UN	United Nations
AEGA	assessment of the effectiveness of state bodies
OECD	organization for economic cooperation and development
TDP	territory development program
RSE	Republican state enterprise
RK	The Republic of Kazakhstan
SMS	senior management service
LESGOB IES	The law enforcement, special government and other bodies information exchange system
NKR	North-Kazakhstan region
SDP until 2020	Strategic development plan of Kazakhstan until 2020
PMS	Personnel management service
Accounts Committee	Accounts Committee for Control over Execution of the Republican Budget

USA	United States of America
SIR	socio-economic development
LLP	limited partnership
HRM	human resource management
FBS	factor-point scale
CSB	central state bodies
TI	target indicators
HR	human resources
CAF	Common Assessment Framework
EFQM	European Foundation for Quality Management
EIPA	European Institute of Public of Administration
IT	Information technology
KPI	Key Performance Indicator
MAF	Management Accountability Framework
SMART	Specific, Measurable, Achievable, Relevant, Time bound

## INTRODUCTION

**Relevance of the research topic.** In the context of the COVID-19 pandemic and a decline in economic growth, the main task of the public administration system is to maintain socio-economic stability in the country. To solve this problem, as President Kassym-Jomart Tokayev points out in his Address to the people of Kazakhstan dated September 1, 2020, it is necessary «to improve the current system and create a new model of public administration. The state planning system should ensure the mobilization of all human resources, involve the private sector and society as full partners at all stages: planning, execution, evaluation. It will take a reboot of the civil service system». Consequently, the issues of improving the efficiency of civil servants and state bodies by summarizing the lessons learned from the experience of countering the COVID-19 pandemic and supporting the economy, substantiating progressive and new economic tools for human resource management, assessing the effectiveness of the activities of administrative civil servants and state bodies are becoming an urgent problem.

In this regard, the Academy of Public Administration under the President of the Republic of Kazakhstan, within the framework of the project «Institutional Support to the Regional Hub in the Field of Civil Service», conducted a study on the task «Improving the system for assessing the effectiveness of the activities of administrative civil servants and state bodies».

The purpose of this research is to develop recommendations for improving the current mechanism for assessing the effectiveness of administrative civil servants and state bodies.

The object of the research is the performance of central state bodies and local executive bodies, as well as administrative civil servants.

In order to achieve the goal, the following tasks are considered:

- to study the regulatory and methodological framework for assessing the effectiveness of the performance of administrative civil servants and state bodies;
- to analyze the current approach and methodology for assessing the effectiveness of civil servants and state bodies by conducting expert interviews and using analytical tools;
- to study the current situation with consideration of powers and resources;
- to determine the criteria and indicators of the effectiveness of the performance of administrative civil servants and state bodies;
- to develop a standard methodology for assessing the performance of administrative civil servants;
- to substitute the recommendations for improving the system of efficiency of the performance of the CSO and LEB

To achieve the goal and objectives in the research process, the regulatory and legal foundations of approaches and methods for assessing the effectiveness of the activities of administrative civil servants and state bodies were studied, the results

of evaluating their activities according to the current methods were analyzed, new criteria and indicators for assessing effectiveness were substantiated, as well as the need to develop new methods. At the same time, the study of assessing the

effectiveness of state bodies was carried out in the blocks «Achieving goals», «Interaction of state bodies with individuals and legal entities», «Organizational development of a state body».

In addition, based on the study of international experience and a comparative analysis of criteria and indicators for assessing efficiency in the republic and foreign countries, conclusions and recommendations for improving the system for assessing the effectiveness of the activities of administrative civil servants and state bodies are substantiated.

Consideration of the above issues was carried out taking into account the creation of new state bodies, changes and additions to the functions of existing state bodies in the light of the implementation of the tasks set by the President of the Republic of Kazakhstan Kassym-Zhomart Tokayev in his address to the people of Kazakhstan. This requires the development of new requirements for the activities of administrative civil servants.

**The research was carried** out on the basis of a systematic approach. For the study, methods of system analysis, methods of expert assessments with interviews, as well as methods of logical and comparative analyzes were used.

**The information base** of the report includes regulatory legal acts, the conclusion of the Accounts Committee for Control over the Execution of the Republican Budget (hereinafter referred to as the Accounts Committee) to the Report of the Government of the Republic of Kazakhstan on the Execution of the Republican Budget for 2019, an analytical report of the results of assessing the effectiveness of state bodies for 2019 by «Center LLP research, analysis, performance evaluation of the Accounts Committee», as well as statistical materials of state bodies.

The report consists of an introduction, four chapters, general conclusions and recommendations, a list of sources used.

# SECTION I ASSESSING THE EFFECTIVENESS OF THE ACTIVITIES OF STATE BODIES

## CHAPTER 1. EVALUATING GOALS ACHIEVEMENT

### 1.1 Analysis of legal regulation of evaluating the state bodies activity

The decision to create a system for assessing the effectiveness of state bodies was approved by the Decree of the President of the Republic of Kazakhstan "On measures to modernize the public administration system".<sup>1</sup>

In 2010, the System for assessing the effectiveness of the activities of state bodies (hereinafter - the Assessment) was developed in accordance with the Decree of the President of the Republic of Kazakhstan "On the System for the annual assessment of the effectiveness of the central state and local executive bodies of regions, a city of republican significance, the capital".<sup>2</sup>

The purpose of the Assessment is to decompose the performance of a state body into a number of specific indicators and track its performance on these indicators from year to year. At the same time, performance indicators should be unified for different state bodies- for line ministries, for agencies, for regional akimats<sup>3</sup>.

Overall, the Assessment contributes to the overall progress of administrative reform. In the early years, thanks to the Assessment, state bodies streamlined their internal processes. For example, at that time they were required to implement strategic plans, and through the Assessment it was possible to determine how well a state body develops documents, how accurately and correctly it plans its performance indicators and what is the level of achievement of indicators at the end of the year. The assessment covered the procedures for personnel management and provision of public services, the introduction of electronic document management, database integration and the development of electronic government. The assessment forced state bodies to improve performance and at the same time supported key reforms of public administration modernization<sup>4</sup>.

In 2017, as part of the implementation of the 93<sup>rd</sup> step of the 100 Steps Plan of the Nation, the Assessment included three main sections:

- 1) achieving goals and implementing budget programs (45%);
- 2) interaction of state bodies with citizens (45%);

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<sup>1</sup> Decree of the President of the Republic of Kazakhstan dated January 13, 2007 No. 273 "On measures to modernize the public administration system"

<sup>2</sup> Decree of the President of the Republic of Kazakhstan of 2010 No. 954 "On the System of Annual Evaluation of the Performance of Central State and Local Executive Bodies of Regions, a City of Republican Significance, the Capital"

<sup>3</sup> Regional executive authority in Kazakhstan

<sup>4</sup> Оценка эффективности деятельности государственных органов: от создания к результатам / URL: [https://www.inform.kz/ru/ocenka-effektivnosti-deyatel-nosti-gosudarstvennyh-organov-ot-sozdaniya-k-rezultatam\\_a3066277](https://www.inform.kz/ru/ocenka-effektivnosti-deyatel-nosti-gosudarstvennyh-organov-ot-sozdaniya-k-rezultatam_a3066277)

### 3) organizational development (10%).<sup>5</sup>

The main approaches to the effective activities of state bodies are defined in the Budget Code of the Republic of Kazakhstan, which states that the assessment of results is an objective assessment of the impact of the activities of Central State Bodies (hereinafter - CSB) and local executive bodies (hereinafter - LEB) of regions, cities of republican significance, the capital on economic development, society, analysis of the achievement of indicators of the results of the activities of the state body. In addition, it is noted in the Budget Code of the Republic of Kazakhstan that the assessment of results is based on:

- Evaluation of the implementation of documents of the state planning system, carried out in accordance with the state planning system;
- Performance audit conducted in accordance with the Law of the Republic of Kazakhstan "On State Audit and Financial Control";
- Evaluation of the effectiveness of the activities of the Central state bodies and the LEB of regions, cities of republican significance, the capital, carried out in accordance with the Assessment of the Central state bodies and the LEB of regions, cities of republican significance, the capital.

By the Decree of the Government of the Republic of Kazakhstan dated November 29, 2017 No. 790, three levels of documents of the State Planning System are identified<sup>6</sup>. The documents of the first level include documents that determine the long-term vision of the country's development with key priorities and benchmarks:

- Strategic development plan of Kazakhstan till 2050;
- Strategic development plan of the Republic of Kazakhstan up to 10 years, Anticipated scheme of the country's territorial and spatial development;
- The Republic of Kazakhstan national safety.

The documents of the second level include documents that determine the parameters of the economic development of the Republic of Kazakhstan, a region, a city of republican significance, the capital, as well as documents of an inter-sphere, inter-industrial and inter-agency nature:

- Social and economic development prediction for 5 years;
- Government-sponsored program for a period of not less than 5 years.

The documents of the third level include documents that determine the ways to achieve the documents of the State Planning System of the first and second levels based on decomposition:

- Strategic plans of the state bodies for 5 years,
- Territories development programs for 5 year,
- Development strategies of national management holdings, national holdings and national companies for 10 years.

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<sup>5</sup>Evaluation of the effectiveness of government agencies. Report for 2016 prepared by the Center for Evaluating the Performance of Government Bodies // URL: <https://www.bagalau.kz/upload/22-01-2019/ad1b8dd7e72c8887a5fb10cc6f2fdab44c9a1d07.pdf>

<sup>6</sup> Resolution of the Government of the Republic of Kazakhstan dated November 29, 2017 No. 790 "On approval of the State Planning System in Kazakhstan"

Target indicators and indicators of results of documents of the state planning system should be determined based on this hierarchy and should be interconnected. Therefore, these requirements should be taken into account when assessing the activities of the CSB and LEB. At the same time, the target indicators and indicators of the strategic plans of the CSB, and the target indicators and indicators of the territorial development plan (hereinafter - the TDP) should be aimed at achieving target indicators and indicators of the forecast of socio-economic development for 5 years, state programs, as well as achieving national target indicators and indicators.

Control over the implementation of the Strategic Development Plan of the Republic of Kazakhstan for 10 years is carried out by the Administration of the President of the Republic of Kazakhstan, and monitoring and evaluation of its implementation is carried out by the authorized bodies for state planning. Monitoring, evaluation and control of the Forecast of socio-economic development is not carried out.

The assessment of the implementation of state and government programs is carried out by the authorized bodies for state planning and the Accounts Committee for monitoring the execution of the republican budget.

The assessment of the implementation of the strategic plans of state bodies, in addition to the assessment carried out by the Accounts Committee for Control over the Use of the Republican Budget Funds, is carried out within the framework of the system of annual assessment of the effectiveness of the CSB and LEBs.

The assessment of the implementation of the development program of regions, cities of republican significance, the capital, in addition to the assessment carried out by the audit commission of the region, cities of republican significance and the capital, is carried out within the framework of the Assessment of the Central state bodies and the local authorities of regions, cities of republican significance, the capital.

The Law on State Audit and Financial Control provides for 14 areas of performance audit. The Accounts Committee carries out an audit of the effectiveness of the implementation of documents of the state planning system of the Republic of Kazakhstan, in terms of the execution of the republican budget and the use of state assets, an audit of the effectiveness of the objects of state audits; as well as an audit of the implementation efficiency, development strategy and development plans of national managing holdings, national holdings, national companies, the shareholders of which are the state.

In turn, it should be noted that the objects of the state audit are state bodies, state institutions, subjects of the quasi-public sector, as well as recipients of budget funds.

Therefore, the results of the performance audit should be fully used for the Assessment. They are also authorized bodies of subjects of the quasi-public sector, in particular, state-owned enterprises, limited liability partnerships, joint stock companies with state participation. Therefore, the assessment of their activities is also important for assessing the effectiveness of the functioning of the CSB.

To conduct an efficiency audit, a procedural standard of external state audit and financial control for conducting an efficiency audit and a methodological guide for its



conduct have been developed in the republic, as well as separate audit methods have been developed in some areas of performance audit.

However, no methodology has been developed for a comprehensive assessment of the activities of the Central state bodies and the Local Government and their influence on the development of the economy of the country or regions, separately taken sectors (spheres) of the economy, society.

To assess the effectiveness of achieving goals, the "Methodology for assessing the effectiveness of achieving goals and indicators of budget programs" was developed and approved by a joint order of the Ministry of National Economy of the Republic of Kazakhstan and the Ministry of Finance of the Republic of Kazakhstan, which was registered with the Ministry of Justice of the Republic of Kazakhstan on February 8, 2017. The methodology indicates that the assessment of effectiveness is carried out on the basis of: strategic plans of the CSB, TDP of the LEB, reports on the implementation of budget programs, information on the relationship of goals, target indicators with the budget programs of the CSB, information on the achievement of direct results of the estimated budget programs, a statistical report of the budget execution officer, statistical ratings and other sources.

In our opinion, as in the world practice of assessing the effectiveness of the use of budgetary funds, special attention should be paid to the issues of achieving the final results, as well as the results of audit activities. In addition, it is advisable to use information on the relationship between target indicators of the strategic plan of the CSB with the goals and target indicators and indicators of state and government programs.

To assess the effectiveness of the LEB - use information on the relationship of the target indicators of the TDP with the goals and target indicators of state and government programs. At the same time, the list of basic indicators developed and approved by the Ministry of National Economy for assessing the effectiveness of local executive bodies should be analyzed. Until January 2019, more than 80 basic indicators were established in the republic, which, based on the Order of the Minister of National Economy of December 19, 2018, were reduced by 2 times. Therefore, the methodology should reflect the relationship of these indicators with target indicators and indicators of the TDP and government programs.

The republic has developed and approved a methodology for an operational assessment of the goal achievement section by a regulatory decree of the Accounts Committee and an order of the First Deputy Prime Minister of the Republic of Kazakhstan - Minister of Finance of the Republic of Kazakhstan, registered with the Ministry of Justice of the Republic of Kazakhstan on February 27, 2020. However, this methodology also did not allow for a comprehensive assessment of the impact of the CSB on the development of the country's economy, separately taken sectors (spheres) of the economy.

Table 1.1 - SWOT analysis of the regulatory framework of approaches and methodology assessing the performance of central state and local executive bodies

<b>Strengths</b>	<b>Weaknesses</b>
The Budgetary Code provides for the norms and requirements for assessing the effectiveness of CSO and LEB, a system for the annual assessment of the effectiveness of CSO and LEB is approved, 2 methods for the module "Achievement of goals" are developed.	The Methodology lacks criteria and indicators of the relationship between the goals and target indicators of the strategic plans of the CSB and the TDP with the goals and target indicators of state programs and other strategic documents of the state planning system, whereby the norms of the Budgetary Code are not being fulfilled. There is no mechanism to encourage and stimulate state bodies to improve the efficiency of their activities
On the basis of the Decree of the President of the Republic of Kazakhstan dated March 19, 2010 No. 954, an annual assessment of the effectiveness of the activities of the Central state bodies and local executive bodies of regions, cities of republican significance, the capital is carried out	The assessment method itself is very labor-intensive: in order to assess the effectiveness of the activities of one CSB and LEB, it is necessary to calculate more than 40 indicators
	There is no analysis of the reasons for the ineffective activity of the LEB, there is no reaction to the appeals of the LEB (10-12 appeals) to the authorized bodies concerning making changes to the assessment system
	The Methodology does not provide for issues of assessing the effectiveness of CSBs directly subordinate and accountable to the President of the Republic of Kazakhstan
	The Methodology lacks criteria and indicators of the influence of subordinate organizations on the goals and target indicators of the CSB
<b>Opportunities</b>	<b>Threats</b>
Based on the study of international experience in assessing the effectiveness of the activities of the CSB and LEB, improve the annual assessment system through the results of audit performance of the budget funds using, state programs implementation	The current approach to assessing the effectiveness of the CSB and LEB does not allow assessing the achievement of national indicators indicated on the strategic documents of the state planning system
Apply project management, in particular SCRUM meetings, when assessing the effectiveness of the LEB	Lack of transparency in assessing the performance of the CSB and Local Executive Bodies(the lack of assessment results over the past two years on the website of the Center for Assessment of the Performance of State bodies as of 15.09.2020) can lead to corruption risks. Brief results do not allow to carry out a comprehensive review of the performance efficiency of the CSB and LEB
Note: compiled by the authors	

After studying the regulatory legal acts and the Methodology, we carried out a SWOT analysis, which made it possible not only to identify a number of problems in

its implementation, but also to determine the possibilities of increasing the efficiency of the operational assessment system (Table 1.1).

As one can see in the table 1.1 the strengths of evaluating the activities of state bodies are: norms and requirements for assessment of the effectiveness of CSB (Central State Bodies) and LEB (Local Executive Bodies) provided for in the Budgetary Code of the Republic of Kazakhstan, an approved system of annual activities assessment of CSB and LEB, 2 principles developed for the “Achievement of goals” module.

The weaknesses include a rather complex assessment principles, which includes a large number of criteria and indicators for each aspect of the “Achievement of goals” module, absence of criteria and indicators interconnection between the goal and target indicators of the strategic plans of the CSB and the TDP (territory development program) with the goals and target indicators of state programs and other strategic documents system of state planning, criteria and indicators of the activities effectiveness of the CSB, directly subordinate and beholden to the President of the Republic of Kazakhstan, a mechanism for encouraging and stimulating state bodies to improve the efficiency of their activities. In our point of view, the opportunities are that one can use project management tools, in particular SCRUM meetings while making an assessment.

We designated as a threat the fact that the current approach to effectiveness assessment of the CSB and LEB performance does not allow evaluating the achievement of national indicators indicated in the strategic documents of the state planning system, as well as the lack of transparency while conducting an assessment.

## **1.2 Analysis of the assessment methodology for the goals achievement module**

The Budget Code of the Republic of Kazakhstan states that the assessment of the activities of state bodies is carried out on the basis of documents of the state planning system. There are 3 levels of strategic documents in the republic. Consequently, it was and remains relevant to assess the relationship of these documents, primarily with the target indicators specified in them. In 2017, the Accounts Committee carried out the first assessment of the relationship between documents of the state planning system, it assessed the target indicators of the state program of industrial and innovative development and their impact on the goals of the Strategic development plan of Kazakhstan until 2020 (SDPK until 2020). In the strategic plan of the Ministry of investment, the SPIID target indicators are aimed at implementing 11 goals of the Strategic plan.

Analysis of the interaction of these indicators shows that the SPIID predicts an increase in the share of manufacturing in the GDP structure to the level of 11-12%. Consequently, state support for the manufacturing industry within the framework of the SPIID is not aimed at bringing the share of manufacturing in the GDP structure to 13%, as stipulated in the SDPK until 2020.

The Accounts Committee points out that the goals of the SDPK until 2020 to increase the gross production of chemical products and expand the types of chemical

industry in the Republic have not been specifically reflected in the SPIID. Thus, in the SPIID, agrochemistry, oil and gas chemistry and production of chemicals for industry, which are provided as priority areas, do not contain specific indicative parameters for the volume of their output and assortment. In turn, there is no correlation between the target indicators and the tasks and activities of the SPIID.

In practice, the target indicators of the SPIID were adjusted downward with an increase in funding. According to the estimates of the Accounts Committee, changes should specify the tools for achieving goals, and not the goals themselves. The current situation indicates poor planning of target indicators in the development of SPIID<sup>7</sup>.

There is an annual change in the amount of funding for activities aimed at achieving the target indicators for the period of implementation of the SPIID. At the same time, there is a significant increase in funding for activities aimed at achieving the target indicator for labor productivity, bringing its share in 2017 to 25%, and in 2015 – 7.2%. However, the budget programs do not include indicators of labor productivity growth for enterprises that have received state support.

The above facts indicate that in the republic, the goals and target indicators in strategic documents are not sufficiently interrelated, and the target indicators of the strategic plan of state bodies are not systematically aimed at implementing state programs. In turn, the direct and final results of budget programs do not allow for a comprehensive assessment of their impact on the goals and target indicators of strategic documents.

A similar pattern is observed under the state program of development of education and science, SDPK until 2020 is not decomposed to the parameters of the Program in the two indicators.

In 2017, the Accounts Committee assessed the relationship between the goals and target indicators of the Strategic plan of central state bodies and the goals and target indicators for 10 state programs. Their results confirm the above conclusions.

In the conclusion of the Accounts Committee to the Government's Report on the execution of the republican budget for 2019, an assessment of the effectiveness of the implementation of 7 state programs was made.

However, the results of implementation effectiveness of these state programs carried out by the Accounts Committee are not taken into consideration when assessing the performance of the Ministries of Health, Education and Science, National Economy and others.

Thus, to our way of thinking, there is an objective need to assess interconnection between the goals and target indicators of the strategic plans of state bodies with the goals and target indicators of the state planning system documents, primarily state programs and the strategic development plan of the Republic of Kazakhstan until 2025. This is also relevant as from 2021 a significant role in the system of state planning will be assigned to strategic planning and implementation of national projects. Consequently, the principle for assessing the goals achievement should include a

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<sup>7</sup>Conclusion of the Accounts Committee to the Report of the Government of the Republic of Kazakhstan on the execution of the republican budget for 2019. City of Nur-Sultan. 2020

module for evaluating interconnection between the strategic plans of the CSB with the goals and target indicators of the strategic documents.

Thus, in our opinion, there is an objective need to assess the relationship of the goals and target indicators of strategic plans of state bodies with the goals and target indicators of documents of the state planning system, primarily state programs and the strategic development plan of the Republic of Kazakhstan for 10 years. This is also relevant because from 2021, strategic planning and implementation of national projects will play a significant role in the state planning system. Therefore, the Methodology for assessing the achievement of goals should include a module on assessing the relationship of strategic plans of central state bodies with the goals and target indicators of strategic documents in the Republic.

Analysis of performance evaluation of central state bodies carried out by the Ministry of national economy of the RK shows that the estimate in 2020 implemented in the following areas:

1. The objectives of the strategic plan.
2. Efficiency of budget program execution in achieving the strategic plan goal.
3. Relationship of the strategic plan goal with budget programs.
4. Quality and content of the Civil budget publication.

At the same time, the evaluation of the achievement of the strategic plans of the central state bodies was carried out by the Accounts Committee.

The performance assessment based on the criteria "Effectiveness of budget programs in achieving the goal of the strategic plan", "Relationship of the goal of the strategic plan with budget programs", "Quality and content of the publication of the Civil budget" is carried out by the authorized body for budget execution.

In accordance with the Methodology, target indicators that were published for 12 months at the time of the assessment are accepted for calculation. At the same time, indicators with planned and actual values equal to 0 are not accepted for calculation.

The achievement of the objectives of the strategic plan determined by calculating the ratio of the achievement of the objectives, consisting of the ratio of achievement of target indicators as well as factors such as overfulfilling the actual value of the indicator from the planned 25% or more, and the fact of the adjustments planned values of indicators in the downside and the lack of positive dynamics of fact compared to the fact of last year.

The Methodology sets a new correction factor in terms of overfulfilling the actual indicator value. In particular, according to the Methodology, if the fact of overfulfillment exceeds 100%, the result of achieving the indicator is multiplied by 0.8.

According to the results of the operational assessment for 2019, the average rating of central state bodies for achieving the goal of the strategic plan was 91.81 points (in 2018-86.3 points).

The highest rating was given to ME-97.4 points, ACSA-96,4 points and MJ-96.0 points. The lowest scores were recorded in the MA-86.45 points, the MES-80.9 points and the MH– 80.85 points.

At the MA, MES, and MH there is a lack of effective implementation in budget component, as well as the low level of compliance with the publication requirements

of the Civil budget, taking into account the correction parameters and the strategic plan was only partially achieved. In addition, penalty points were deducted for providing false reporting information.

An analysis of the achievement of the goals of strategic plans and the effectiveness of the implementation of budget programs shows that in 2019, there is a decrease in the number of goals of 16 central state bodies to 71. For example, in 2018, their number was 86<sup>8</sup>.

Out of 71 goals excluding the budget component, 49 goals (69%) were fully achieved, taking into account the budget and corrective parameters, 23 goals (32.4%) were fully achieved. For comparison, in 2018, 68.6% were fully achieved without taking into account the budget, while 19.8% or 17 of the 86 goals were taken into account<sup>9</sup>.

One of the key reasons for not achieving the goals of the Accounts Committee is the partial implementation of target indicators, as well as the use of corrective parameters due to the presence of defects in overfulfilling the planned target values, adjusting their planned values in the downward direction and the lack of positive tendency compared to the previous period<sup>10</sup>.

According to the evaluation results, 256 out of 342 target indicators were fully achieved (74.5%), 41 (11.99%) were partially achieved, 2 (0.58%) were not achieved, and 42 (12.58%) were not taken into account.

In the republic, the proportion of target indicators not taken into account when evaluating the efficiency remains high. In 2019, the Ministry of National Economy did not take into account the estimates of 11 indicators or 44% out of 25 target indicators. Consequently, the assessment of the MNE (Ministry of National Economy) performance was carried out only by 14 indicators and the achievement of the goal was scored more than 90 points.

Evaluation of the effectiveness of budget programs in achieving the goals of the strategic plan shows that the indicator specifies a positive trend: the level of efficiency of budget programs in 2019 was 97.56% (in 2018-96.08%). At the same time, the average value of the performance efficiency coefficient for 223 budget programs was 0.97% compared to 0.96 in 2018. The average achievement of direct and final results of budget programs was 97.25% (in 2018, 96.07%). At the same time, the share of indicators of direct and final results with full achievement of results was 93.48% (947 out of 1013) and 84.38 (308 out of 365), respectively. At a low level, the implementation was formed by 4 direct results (MLSPP, MES, MCS and MA) and 4 final results (MES, MISD and MA). Results were not achieved for 10 direct results

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<sup>8</sup>Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

<sup>9</sup>Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

<sup>10</sup>Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

(MES, MLSPP, MCS) and 1 final (MISD) indicators. There are no indicators for 4 direct results<sup>11</sup>.

In turn, due to the lack of data at the time of evaluation, 21 indicators of the final result were not taken into account (MNE, MTI, MDDIAI, MISD, MCS, MH)<sup>12</sup>.

It should be noted that the impact of achieving direct and final results on the effectiveness of the budget programs execution varies.

Therefore, the methodology should provide for the effectiveness of the implementation of current budget programs and budget development programs separately. This makes it possible to more effectively assess the impact of budget programs on the achievement of goals and target indicators of strategic plans of state bodies.

Analysis of the relationship between goals and the effectiveness of budget programs shows that the ratio of the relationship between the goals of the strategic plan and budget programs is determined by experts when analyzing each budget program and its indicators for the relationship and compliance with the goal and target indicators. According to this criterion, there is a positive annual dynamic (in 2019 – 0.98%, in 2018 – 0.91, in 2017 – 0.86).

In 2019, 54 goals (76%) achieved the maximum value (1.0) of the correlation coefficient (in 2018 – 63.2%).

A high level (0.99-1) of the relationship between the goals of the strategic plan and the indicators of direct and final results of budget programs was recorded in 12 CSB. According to MTI, the MCS correlation coefficient was 0.95 for MNE 0.94, while for the MH the coefficient is 0.90<sup>13</sup>.

Analysis of the quality and content of Civil budget publications shows that this criterion is used to assess compliance with the requirements for publication on the official Internet resources of state bodies of the Civil budget in order to inform the public about the implementation of allocated budget funds and generate public interest in the budget process.

The placement procedure of the Civil budget is governed by the rules for preparation and presentation of the citizens budget stages budget planning and budget execution approved by order of the Minister of Finance of the RK dated January 9, 2018.

An analysis of the Internet resources of state bodies showed that 12 out of 16 CSB did not fully comply with the approved requirements for the placement of the Civil budget. Thus, the requirements for the presentation of information on the Civil budget in terms of clarity, accessibility and form of content were not met. Visual materials were not used, the established deadlines for posting budget information were not met, as well as the frequency of providing reporting information. In addition, incomplete

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<sup>11</sup>Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

<sup>12</sup>Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

<sup>13</sup>Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

information on the implementation of budget programs with indicators of results was published.

According to the estimates of the Accounts Committee, the average level of compliance with the approved criteria is noted only for three central state bodies (MF, ME and MNE), the level of compliance with the requirements from 70 to 90% is observed for the MJ, MIID, MISD, MEGNR, and MCS. For 7 of the 16 central state bodies (MES, MDDIAI, MTI, MH, MLSPP, MA, ACSA), compliance with the requirements ranged from 20 to 60%<sup>14</sup>.

Thus, the assessment of the activities of central state bodies in the republic according to the above criteria revealed a number of systemic problems in achieving strategic goals and performance indicators of budget programs.

1. In the republic it is not conducted a comprehensive assessment of the relationship between the goals and target indicators of strategic plans of central state bodies and the goals and target indicators of strategic documents specified in the System of state planning.

2. The facts of overfulfillment of the planned indicators of results, planning of direct and final results without taking into account their actual performance in the previous period do continue. Insufficiently justified determination of the final results for the budgetary development programs. As a result, there are no quantitative changes in these indicators in the assessment.

3. Current budget programs often indicate indicators of direct results that are not related to the goals of the strategic plan of the state body.

4. Target indicators that do not meet the requirements of the Methodology for developing strategic documents in terms of reflecting positive changes in the industry are set for individual central state bodies.

5. In the strategic plan of some state bodies, there are no target indicators that characterize the integrated development of the industry and provide solutions to the main problems of the economy and its individual spheres.

The operational assessment of the effectiveness of the activities of local executive bodies was carried out according to the following criteria:

- 1) achieving the goals of the territory development program;
- 2) the absence of violations of budgetary and other legislation based on the results of audits of budgetary development programs by state audit and financial control bodies for the period being assessed;
- 3) achieving direct results of budgetary development programs;
- 4) the effectiveness of the implementation of the budget development program.

And from the current year, according to the joint regulatory resolution of the Accounts Committee and the order of the First Deputy Prime Minister<sup>15</sup> of the Republic of Kazakhstan, they are additionally assessed according to the following criteria:

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<sup>14</sup>Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation module. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

<sup>15</sup> joint regulatory decree of the Accounts Committee for control over the execution of the republican budget No. 1- HK dated February 26, 2020 and order of the First deputy Prime Minister of the Republic of Kazakhstan - Minister of Finance of the Republic of Kazakhstan dated February 26, 2020 No. 201



- 5) the quality and content of the publication of the Civil budget;
- 6) the use of new budgeting practices (public participation budget).

Conclusions on the results of the operational assessment for the module of achieving the goals of local executive bodies are formed in the form presented in Table 1.2.

Table 1.2 – Criteria and indicator scores

<b>№</b>	<b>Criterion / indicator name</b>	<b>Score/ coefficient</b>
1.	Absence of violations of budgetary and other legislation based on the results of audits of budgetary development programs by state audit and financial control bodies - 10 points	
1.1	Absence of violations	8
1.2	Availability of an analysis of the achievement of the goals of the territory development programs in relation to budgetary expenditures, carried out by the internal audit service	2
1.3	Lack of analysis of the achievement of the goals of the territory development programs in relation to budget expenditures, carried out by the internal audit service	0
1.4	Failure to carry out inspections by state audit and financial control bodies for the reporting period	5
1.5	The presence of violations from the total volume of budget funds covered by the audit (with the exception of ineffective expenses) in accordance with the Classifier of violations detected at the objects of state audit and financial control	
1.5.1	up to 5%	6
1.5.2	5,1 – 9,9%	3
1.5.3	10,0 – 14,9%	1
1.5.4	more than 15%	0
2.	Quality and content of Citizens Budget publications	2
2.1.	Full compliance with the approved quality and content requirements for Citizens Budget publications	2
2.2.	Compliance with the approved quality and content requirements for publications of the Citizens Budget up to 80%	1
2.3	Placement of information that meets the requirements of publications of the Citizens Budget below 80%	0
3.	The use of new budgeting practices (public participation budget (PPB), a bonus coefficient is assigned	1,2
3.1	Distribution of the local budget up to 5% through PPB, coefficient	1,2
3.2	Distribution of the local budget up to 3% through PPB, coefficient	1,0

In accordance with the obtained result of the assessment, the degree of efficiency of the assessed local executive body is determined.

A high degree of efficiency of the assessed state body corresponds to an assessment indicator from 90 to 100 points, an average degree - from 70 to 89.99 points, a low degree - from 50 to 69.99 points. Ineffective is the activity of the assessed state body that scored less than 50 points based on the assessment results.

### 1.3 Analysis of international experience

In world practice, various models have been developed for assessment of the state bodies activity.

Thus, the World Bank Institute (WB) regularly carries out quality and efficiency analysis of public administration in the countries of the world. For this purpose he developed an assessment model, in which the quality of public administration is assessed by six indices (Worldwide Governance Indicators), reflecting various public administration characteristics. According to the third assessment index (Government Effectiveness), the public administration system effectiveness is assessed by several indicators<sup>16</sup>.

Table 1.3 - Indicator "Government activity efficiency" in the World Bank's annual research "public administration efficiency" (Worldwide Government Indicators)<sup>17</sup>

Country	2015		2016		2017		2018		2019	
	EG*	PR**	EG*	PR**	EG*	PR**	EG*	PR**	EG*	PR**
Singapore	2,24	100,00	2,21	100,00	2,22	100,00	2,23	100,0	2,22	100,00
Norway	1,86	98,08	1,87	98,56	1,98	99,04	1,89	97,60	1,86	97,60
Canada	1,76	94,71	1,78	95,19	1,85	97,12	1,72	94,71	1,73	95,19
New Zealand	1,88	98,56	1,84	97,60	1,77	95,19	1,67	93,75	1,67	94,23
USA	1,46	89,90	1,48	91,35	1,55	92,79	1,58	92,31	1,49	91,35
United Kingdom	1,74	94,23	1,60	92,79	1,41	90,38	1,34	87,98	1,44	90,38
Korea, Rep.	1,01	79,81	1,06	80,77	1,07	82,21	1,18	84,13	1,38	88,46
Estonia	1,07	82,69	1,09	82,69	1,11	82,69	1,19	84,62	1,17	85,58
Latvia	1,09	83,65	1,01	78,85	0,90	78,85	1,04	79,81	1,11	83,65
Malaysia	0,95	76,92	0,87	75,96	0,83	75,48	1,08	81,25	1,00	79,33
Georgia	0,40	67,31	0,52	70,67	0,58	73,08	0,61	74,04	0,83	76,92
Russia	-0,20	47,12	-0,20	44,71	-0,08	50,96	0,06	50,96	0,15	58,17

<sup>16</sup> Alieva S. Center for Assessing the effectiveness of state Bodies under the JSC "Institute of Economic Research" of the Ministry of National Economy of the Republic of Kazakhstan. Evaluation of the effectiveness of the state bodies of the Republic of Kazakhstan in personnel management. Astana, 2017.

<sup>17</sup><http://info.worldbank.org/governance/wgi/#home>

Kazakhstan	-0,07	50,48	-0,07	50,96	0,01	52,88	0,02	54,33	0,12	57,69
*Estimate of governance (ranges from approximately -2.5 (weak) to 2.5 (strong) governance performance) **Percentile rank among all countries (ranges from 0 (lowest) to 100 (highest) rank) Note: compiled by the authors										

As the table 1.3 shows, the percentile rank of Kazakhstan is growing dynamically, during the analysed period it increased from 50.48 to 57.69. According to the study, the Republic of Kazakhstan government activity efficiency has improved due to the increase in indicators in the field of the performance of the state machinery and stability in the political and economic course, as well as in the level of population satisfaction with the provision of basic public services<sup>18</sup>. Despite the positive trend, Kazakhstan needs to study and adopt the experience of foreign countries; where the state performance efficiency is much higher than ours.

For us, within the framework of our study, the greatest interest was presented by those countries where the principle for assessing the state bodies performance in the field of strategic planning, achieving the goals and results of state programs is well developed.

*Norway.* The Assessment methodology is based on “inter-municipal benchmarking” and aims to assess the effectiveness of municipalities. The “Municipal Network for Innovation and Efficiency” (as the program was called) consisted of three main components: evaluating the performance of municipalities, comparing the results and building the network.

The network represents an organizational structure formed to solve problems in a particular area (primary education, social protection of the elderly, kindergartens, social security, childcare). Comparison of the efficiency of municipalities, correlation of performance indicators with the national average, consideration of the level of satisfaction of the population with services, discussion of the causes of emerging problems and possible solutions to them took place at the meetings of the working groups. At the same time, the assessment of the effectiveness of the activities of municipalities was made not only on the basis of the expert point of view of the participants of the working group, but also on the basis of official statistics and sociological surveys.<sup>19</sup>

*USA.* A massive campaign began in the early 1990s with the adoption of the government performance results measurement Act (Government Performance Results Act of 1993) to improve public administration efficiency in the United States. The most important goal of the new normative act was the reform of the implementation of state programs, which provides for the establishment of explicit goals for each program, measurement of its results in accordance with the set goals and public announcement of the progress achieved<sup>20</sup>.

<sup>18</sup>[https://forbes.kz/news/2020/10/05/newsid\\_234939](https://forbes.kz/news/2020/10/05/newsid_234939)

<sup>19</sup>Lyska A.G. Experience of implementing the Norwegian model of networks for increasing the efficiency of local self-government in Eastern Europe / A.G. Lyska // Questions of State and Municipal Management. - 2014. - No. 3

<sup>20</sup>Hahanova A. Development practices for evaluating the effectiveness of management: global trends and the US experience //World Economy and International Relations, 2015, No. 2, pp. 47-57

Since that time, ministries and government departments have begun switching to the performance indicators, and in 2002 the system was supplemented by a program evaluation method, presented in the form of the government programs analysis.

The assessment of the state bodies performance does not cover the regional aspect, thus it is focused on the public administration enterprises.

In 2009, with the adoption of the Act "Modernization of the government performance results measurement Act," amendments and additions were made to the system for assessing the state bodies' performance, and specifically performance results development council was created, which studies the issues of the performance efficiency of ministries and government departments and gives methodological assistance to them.

The new act was undoubtedly focused on increase of the public managers' overall departmental and personal leadership responsibility for achieving clearly defined strategic goals.

It should be noted that the new approach to assessing efficiency in the United States is focused on achieving the goal of state bodies, according to which work is being carried out to determine key development goals, target indicators and forecasts.

Thus, the assessment of the effectiveness of state bodies is associated with strategic planning. This approach is very important for the country in connection with the change in the state planning system with an emphasis on strategic planning.

In the country, to assess the performance of state bodies, a functional approach is used, focused on the final result, which evaluates the solution of economic problems, and then social ones. The results of government audit are widely used, where the US Audit Office becomes the main body that conducts the Assessment.

*In Great Britain* a three-tier management system was created: "ministries - departments - decentralized structures". This required a new mechanism for assessing the effectiveness of ministries, which are assigned the functions of strategic management in the relevant sphere of the economy. A differentiated system for assessing the effectiveness of state bodies has been formed, which is of a complex nature, taking into account the complexity and interconnection of various links and levels of management. At the same time, the activity of decentralized organizations working with specific economic entities as an agent providing services is assessed separately.

The assessment includes two models: resultant and costly. Some countries use a synthesis of these models.

The practice of monitoring the achievement of approved targets is also interesting. In the UK, out of all performance targets (over 100), at the discretion of the Prime Minister, the 30-40 most significant are selected. Control over their achievement is entrusted to the Department for ensuring the effectiveness of the activities of the Cabinet of the Prime Minister. Then the agencies responsible for the achievement of the priority indicators, together with the staff of the department, develop a plan for achieving the set results. The plan introduces the necessary measures to achieve the

goal, as well as intermediate values of the priority indicators, depending on the speed of the return on the measures taken<sup>21</sup>.

The performance assurance department periodically monitors the implementation of this plan, compares the dynamics of changes in the target values of the priority indicators with the planned values in order to timely make the necessary adjustments to the plan or change the policy in this area.

*Malaysia.* In 2009, the Agency was created to manage the efficiency and ensure the results of the activities of state bodies. The system is based on the 8 step PEMANOU BFR methodology. One of its main functions is to assess the effectiveness of state programs through a system of key indicators, a broad reporting system, scores, as well as the involvement of experts. At the same time, the system is mainly designed to assess the effectiveness of the implementation of government projects and does not cover the entire public administration system. The system includes three categories: management, core business and customer service management, and a 6-point rating scale from "unsatisfactory" to "excellent".

In our opinion, among the familiar international experience, the most acceptable one for our state is that of the United States in terms of the Accounts Chamber audit results use when assessing efficiency, as well as the experience of Malaysia when it comes to involving experts in this assessment.

#### **1.4 Analysis of the practice of evaluating the state bodies activity**

As part of the study, we analyzed the practice of applying existing approaches and methods for assessing the effectiveness of the activities of local executive bodies in the "Achievement of goals" module for the period from 2016 to 2019.

As can be seen from Table 1.2, the first criterion to be assessed is the absence of violations of budgetary and other legislation as a result of audits of budgetary development programs by state audit and financial control bodies. According to LLP "Center for Research, Analysis and Evaluation of Effectiveness" in 2019, the audit on budget programs for the development of LEB covered budget funds in the amount of 287443702.8 thousand tenge, 80 160 247.0 thousand tenge (27.9% of the total the amount of funds covered by the audit) of which were used in violation of budgetary and other legislation. Similarly, in 2018 these indicators amounted to 228 238 128.1 thousand tenge, 46 113 328.8 thousand tenge (20.2%).

The smallest proportion of detected violations was recorded in the akimats of Almaty (0.002%), Pavlodarskaya oblast (0.64), Aktobinskaya oblast (0.89%), Turkestanaskaya oblast (2.03%) and Shymkent (9.32%), and the largest the proportion of detected violations was noted in the akimats of the North Kazakhstan Oblast (76.42%), Kostanayskaya oblast (67.83%), Akmolinskaya oblast (48.85%) and West Kazakhstan oblast (44.87%)<sup>22</sup>.

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<sup>21</sup> Nagimova A.M. Efficiency of the activities of government bodies as a factor in improving the quality of life in the region: problems of assessment and measurement. - Kazan: Kazan. state un-t, 2009. -- 188 p.

<sup>22</sup> Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

The second criterion assessed in accordance with Table 2 - Quality and content of Civil budget publications. It should be noted that this criterion was introduced in 2020, but, however, the evaluating organizations began to evaluate this criterion at the end of 2019, which caused many questions from the LEB.

A low indicator for this criterion became logical - the average value was 0.47 points out of 2 possible. Full compliance with the approved requirements was ensured only by 2 LBE out of 17 (akimats of Almaty and North Kazakhstan oblast).

According to the third criterion - The use of new budgeting practices (public participation budget (PPB) - is a similar situation, it has also been introduced since 2020. Therefore, the reporting data of the regions does not contain information on the implementation of new budgeting practices, and the evaluating bodies show that the implementation of new budgeting practices as a new instrument of budgetary relations aimed at public participation in the management and control of public finances.

In our opinion, the low score of these two criteria caused a decrease in the overall score of those regions that had a stable positive trend until 2019 (Table 1.4).

Table 1.4 - Results of assessing the effectiveness of the LEB for the module "Achievement of goals" for the period from 2016 to 2019

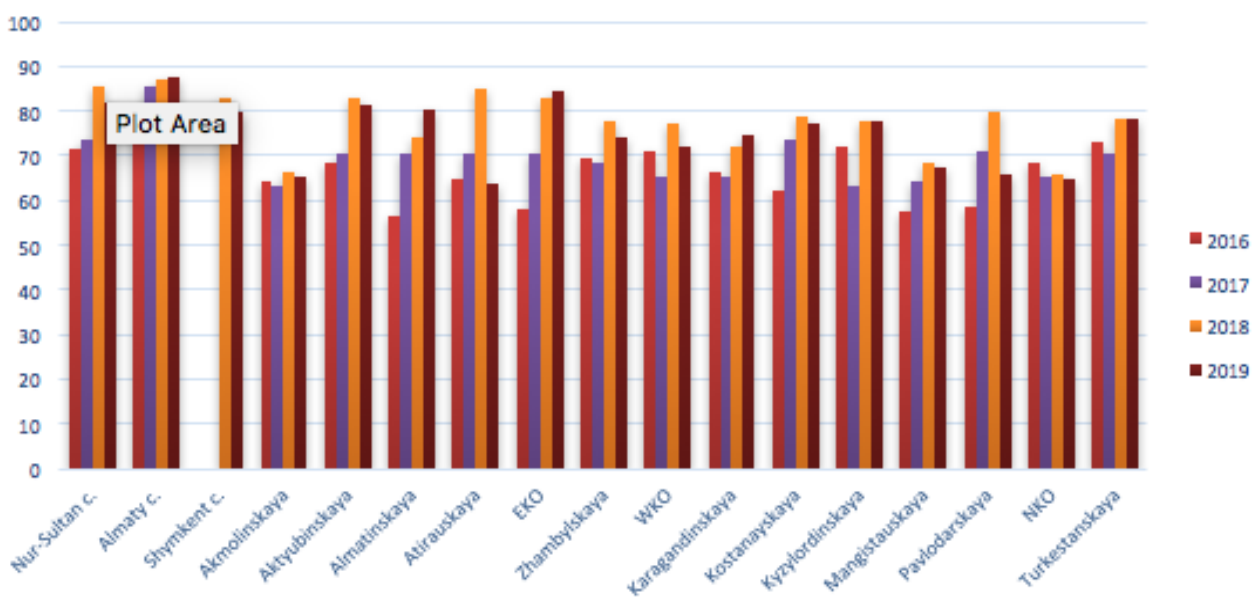
Region	2016	2017	2018	2019	Dynamics
Nur-Sultan	71,6	73,45	85,69	81,65	positive (with the exception of 2019)
Almaty	79,73	85,28	87,21	87,84	steadily positive
Shymkent			83,08	79,66	unstable
Akmolinskaya	64,53	63,43	66,1	65,15	unstable
Aktyubinskaya	68,42	70,52	82,87	81,43	positive (with the exception of 2019)
Almatinskaya	56,26	70,59	74,26	80,37	steadily positive
Atyrauskaya	64,65	70,41	84,75	63,56	positive (with the exception of 2019)
EKO (East Kazakhstan Oblast)	57,9	70,57	82,8	84,21	steadily positive
Zhambylskaya	69,52	68,34	77,7	74,10	unstable
WKO (West Kazakhstan Oblast)	71,17	65,38	77,33	76,43	unstable
Karagandinskaya	66,2	65,12	72,1	74,74	steadily positive
Kostanayskaya	62,28	73,54	78,98	77,36	positive (with the exception of 2019)
Kyzylordinskaya	71,92	63,26	77,73	77,57	unstable
Mangystauskaya	57,52	64,35	68,64	67,09	positive (with the exception of 2019)
Pavlodarskaya	58,61	70,79	79,6	79,43	positive (with the exception of 2019)
NKO (North Kazakhstan Oblast)	68,57	65,51	65,61	64,74	unstable

Turkestan'skaya	73,31	70,57	78,12	78,39	positive (with the exception of 2017)
Source: LLP "Center for research, analysis and efficiency evaluation", 2020.					

As can be seen from Table 3, during the study period, not a single LEB achieved a high degree of efficiency in this module. In 2016, out of 16 regions, only 5 regions (Nur-Sultan, Almaty, WKO, Kyzylordinskaya and Turkestan'skaya oblasts) showed an average efficiency, which amounted to 31.3%. In 2017, this indicator increased to 56.3%, and in 2018 - to 82.4%, in 2019 - it decreased to 76.5%.

According to this indicator, all regions can be conditionally divided into three main groups:

- 1) regions with steadily positive dynamics (Almaty c., Almatinskaya oblast, East Kazakhstan oblast, Karagandinskaya oblast, Turkestan'skaya oblast);
- 2) regions with positive dynamics with the exception of 2019 (Nur-Sultan c., Aktyubinskaya, Atyrauskaya, Kostanayskaya, Mangistauskaya, Pavlodarskaya oblasts);
- 3) regions with unstable dynamics (Shymkent c., Akmolinskaya, Zhambylskaya, WKO, Kyzylordinskaya, NKO).



Source: LLP "Center for research, analysis and efficiency evaluation", 2020.  
Note: compiled by the authors

Figure 1.1 - The results of assessing the effectiveness of the LEB in the module "Achievement of goals" in the regional aspect

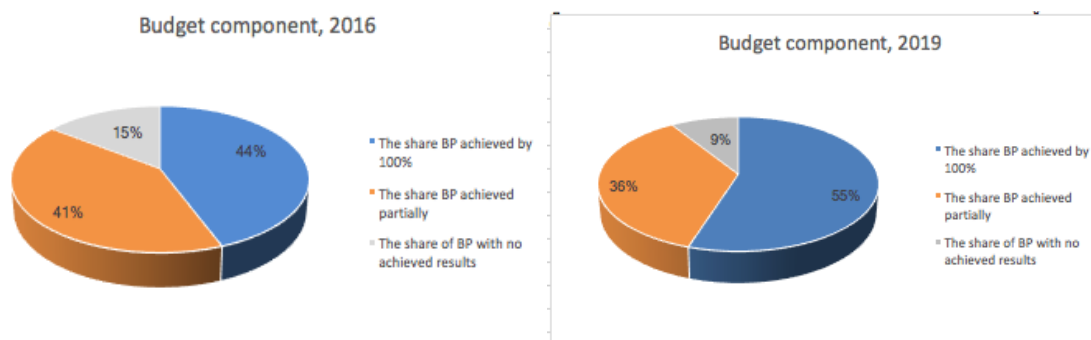
Three regions show a low degree of efficiency for the entire study period: Akmolinskaya, Mangistauskaya and North Kazakhstan (Figure 1.1).

The analysis of the achievement of goals for the strategic and budgetary components showed the following (table 1.5):

Table 1.5 - The results of assessing the effectiveness of the LEB activities on budgetary and strategic components

	<i>Budget component</i>	2016	2017	2018	2019
01.	Number of budget programs	743	804	816	851
02.	Disbursement of funds, %	99,4	98,9	99,5	99,4
03.	Average value of achievement of results of budget programs,%	71,1	80,1	86,1	79,6
04.	Average value of efficiency of budget programs execution,%	71,7	81,1	86,8	80,1
05.	The share BP achieved by 100%	44,1	50,5	59	54,8
06.	The share of BP (budget programs) partially achieved	41,2	34	34,4	36,4
07.	The share of BP with no achieved results	14,7	15,5	6,6	8,8
	<i>Strategic component</i>				
01.	Total number of goals	373	356	373	268
02.	Achieved	200	195	230	138
03.	Partially achieved	154	143	124	129
04.	Not achieved	0	0	1	1
05.	Not taken into account	19	18	18	0
Source: LLP "Center for research, analysis and efficiency evaluation", 2020.					
Note: compiled by the authors					

for the analyzed period, there is a positive trend in the number of budget programs (Table 1.5). With a high percentage of budget funds utilization (over 99%), the share of budget programs of partially achieved and not achieved results remains quite high.



Source: LLP "Center for research, analysis and efficiency Evaluation", 2020.  
Note: compiled by the authors

Figure 1.2. Results of assessing the effectiveness of the LEB for the budgetary component for 2016 and 2019.

So, for example, in 2016 this figure was 56%, i.e. the results of 415 budget programs were not fully achieved, similarly in 2017 this figure was 49.5% and in 2018 - 41%, in 2019 - 45% (Figure 1.2).



According to experts, the reasons for not achieving direct results of budget programs are untimely signing, and sometimes the absence of acts, disruption of the terms of public procurement, non-fulfillment of contractual obligations<sup>23</sup>.

Analysis of the results of the assessment of the strategic component of the module «Achievement of the goals of local executive bodies» for the same period showed that a positive trend is the positive dynamics of the goals achieved from 44% in 2016 to 55% in 2019.

In 2019, the operational assessment of LEB was carried out according to the new Basic list of indicators<sup>24</sup>, in which the number of target indicators was reduced by 2 times (from 81 to 40). However, according to the LLP “Center for Research, Analysis and Performance Evaluation”, the number of target indicators in the regions varies from 46 up to 48 (Figure 1.3). Moreover, none of the oblasts demonstrated 100% achievement of target indicators, the largest share of fully implemented indicators falls on the West Kazakhstan oblast - 35 out of 47 (74.5%), Pavlodarskaya oblast - 35 out of 48 (73%), Akmolinskaya oblast - 34 out of 47 (72.3%) and Almatinskaya oblast - 34 out of 47 (72.3%). The largest share of unreached target indicators falls on Mangistauskaya oblast 23 out of 48 (37.5%) and Karagandinskaya oblast- 24 out of 47 (42.5%)<sup>25</sup>.

Experts explain the high proportion of unreached target indicators for the following reasons: firstly, those who develop the TDP and set target indicators and those who achieve them have completely different understandings of these target indicators, and secondly, many target indicators are descended by central state bodies, not taking into account regional specifics.

Negative trends include the low quality of planning and forecasting target indicators, for example, 5% of all goals are not taken into account when reporting, the share of not achieved goals varies between 33-45%, 33 target indicators did not reach planned values for 3 years in a row (2016, 2017, 2018), as well as negative trends include the low quality of reporting, a low level of financial discipline, an insufficient level of professionalism of LEB and contractors.

In addition, experts also draw attention to the fact that at the regional level, some indicators of territory development programs are poorly focused on the specifics of the development of the region, there is no connection between the development of budget funds and the level of achievement of target indicators, i.e. there is an urgent need to develop a methodology for the relationship between achieving the goals of territorial development programs and corresponding budget programs.

Thus, the assessment of the effectiveness of the activities of local executive bodies in the republic according to the above criteria revealed a number of problems in achieving the goals and performance indicators of budget programs:

1) three oblasts show a low degree of efficiency for the entire study period: Akmolinskaya, Mangistauskaya and North Kazakhstan oblast;

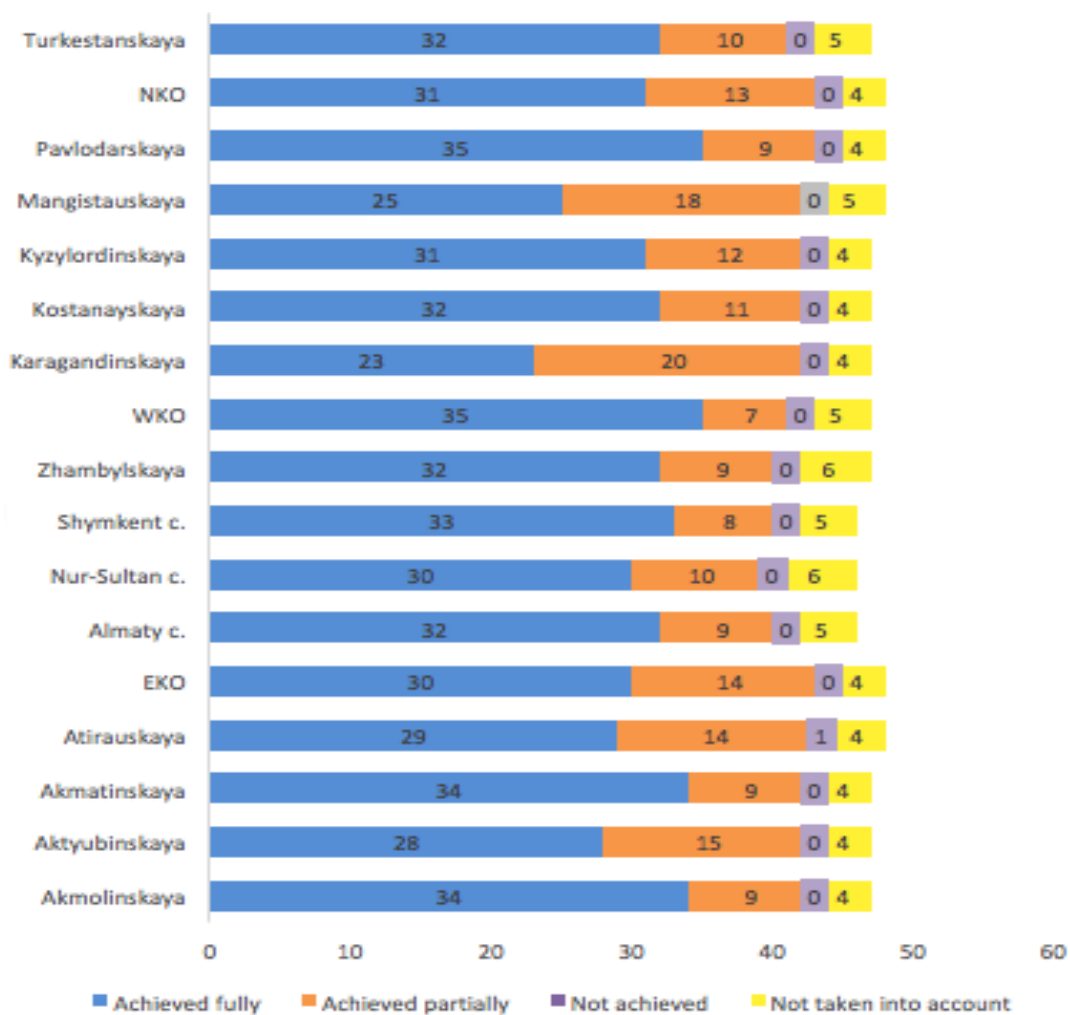
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<sup>23</sup> [www.bagalau.kz](http://www.bagalau.kz)

<sup>24</sup> Order of the Minister of national economy No. 104 dated from December 19, 2018

<sup>25</sup> Analysis of the results of evaluating the effectiveness of state bodies in 2019 in the context of evaluation modules. LLP "Center for research, analysis and evaluation of efficiency" Accounting Committee. Nur-Sultan. 2020.

2) the share of budget programs, partially achieved and not achieved results remains quite high (33-45%);



Source: LLP "Center for research, analysis and efficiency evaluation", 2020.

Note: compiled by the authors

Figure 1.3. Results of the analysis of the achievement of the TDP target indicators in 2019

3) there is a gap between the disbursement of funds and the achievement of results. With the disbursement of the allocated funds over 99%, the level of achievement of the intended direct results of development programs was 79%, and the efficiency of the execution of budget programs was 80%;

4) there is a widespread negative practice of forming low-quality indicators of budget programs (poor-quality definition of indicators, their units of measurement and the absence of intermediate values for rolling projects, allowing to assess the amount of work performed for the corresponding financial year). Every year, more than 20-24% of the budget development programs of LEB do not have the ability to conduct an assessment;

5) low quality of planning and forecasting target indicators;

6) low level of achievement of planned values: 33 target indicators did not reach planned values for 3 years in a row (2016-2018), including in the social sphere (11 out

of 17 LEB for the last 2 years in a row did not reach planned values of 17 TI on the development of the social sphere (health care, education, culture));

7) at the regional level, some of the indicators of territory development programs are poorly focused on the specifics of the development of the region, there is no connection between the development of budget funds and the level of achievement of target indicators;

8) low quality of reporting;

9) a low level of financial discipline (27.9% of the total funds covered by the audit were used in violation of budgetary and other legislation);

10) insufficient level of professionalism of LEB and contractors;

11) in the process of assessing the effectiveness of the activities of local executive bodies, a large number of labor resources are involved.

Recommendations for solving the above problems:

1) Akimats of Akmolinskaya, Mangystauskaya and North Kazakhstan oblasts to develop an action plan to increase the level of efficiency in achieving goals;

2) develop a methodology for the relationship between achieving the goals of territorial development programs and the corresponding budget programs;

3) when planning and forecasting target indicators of the LEB, be guided by the Order of the MNE dated December 19, 2018 No. 104;

4) use the information sources regulated by the Basic list of indicators when preparing the report on the implementation of the TDP;

5) to improve the professionalism of LEB and contractors, plan training at professional development seminars at the Academy of Public Administration under the President of the Republic of Kazakhstan (for the Academy and its branches, plan a 40-hour seminar "Assessing the effectiveness of state bodies");

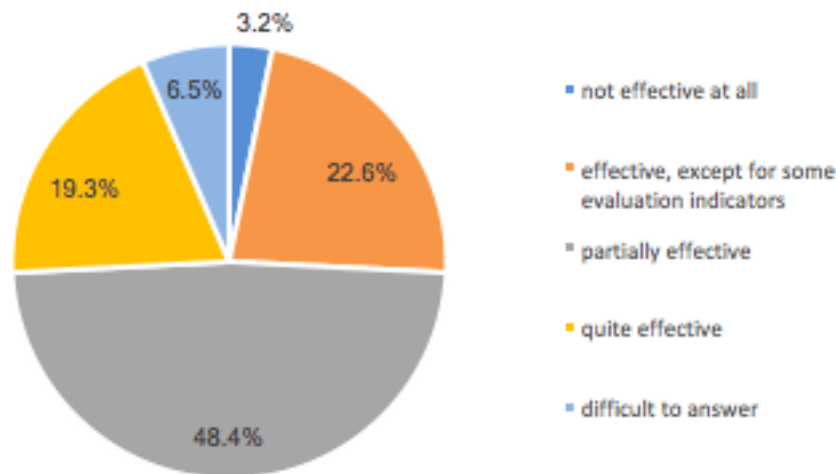
6) to optimize the resource provision of the process of assessing the effectiveness of the activities of state bodies, it is necessary to use project management, in particular, use a cross-platform (EasyProject).

In order to determine improved criteria and indicators that will qualitatively improve the assessment of the effectiveness of the activities of local executive bodies, we conducted an expert interview. The goal was achieved by developing a questionnaire with the prevalence of open-ended questions and conducting on its basis in-depth interviews with experts, which made it possible to obtain a detailed opinion on the system for assessing the effectiveness of the activities of administrative civil servants and state bodies, as well as recommendations for its improvement, and also identified areas of new opportunities to improve both the process of conducting and the methodology of operational assessment of the activities of state bodies.

The expert survey was attended by 31 experts, including 15 representatives of the CSB and 16 representatives of LEB. For the module "Achievement of goals", experts were questioned on 5 questions:

1. How effective is the current system of annual performance assessment of central state and local executive bodies?

The distribution of answers to this question is shown in Figure 1.4.



Note: compiled by the authors

Figure 1.4. Degree of efficiency of the assessment system of state bodies, in%

As can be seen from Figure 1.4, only 19.3% of respondents believe that the current assessment system is effective, most experts (71%) believe that the system needs improvement.

Analysis of the comments given by experts when answering the question about the effectiveness of the current assessment system made it possible to highlight a number of comments. Among them, the focus of the assessment on achieving quantitative indicators, formalism, lack of transparency in assessment processes, weak organizational measures (*rewards, punishments*) based on the assessment results.

Among the recommendations, experts noted the need for an independent assessment, reconciliation of statistical data with the real picture with the involvement of the internal audit service and tax authorities, updating the big-data analysis, improving the methodology taking into account new realities, including the coronavirus pandemic.

2. What are the most frequent violations of budgetary and other legislation detected in your state body?

As a result, 64.5% of the interviewed experts answered that there are violations of a procedural nature, 25.8% believe that there are violations of public procurement legislation, 12.9% record violations of financial reporting legislation, 6.4% note financial violations, 3.2% - violations of accounting legislation.

Experts see the reasons for financial infringements and financial reporting in ineffective budget planning, unplanned expenses, staff turnover, weak financial competence of individual heads of structural divisions of the akimat, as well as the desire of administrators of budget programs to utilize budget funds.

The respondents explain procedural violations by improper fulfillment of contractual obligations, violation of the terms of service provision. An example of the subcontracting by a supplier of a part of services without formal agreement with the customer is given.

The respondents associate the violations of the legislation on public procurement with the imperfection of the law on public procurement, the overregulation of this sphere, which is difficult both in implementation and in understanding.

3. What difficulties do You face when preparing information for authorized bodies assessing the effectiveness of the activities of Your state body?

The answers to this question were as follows: 29% of experts did not experience difficulties in preparing information, 25.8% found it difficult to answer. The remaining 45.8% among the difficulties noted a frequent change in the assessment methodology for various modules, a lack of automation of processes, a discrepancy in the data of local and central sectoral state bodies, a large workflow, a lack of understanding of processes by the staff conducting the assessment.

4. What is the main reason for the low degree of effectiveness in achieving the goals of the strategic plans / TDP?

Based on the answers of the interviewees, it was concluded that there are the following reasons that create the preconditions for reducing the effectiveness of the implementation of strategic plans.

First, poor-quality, ineffective planning, formal indicators, frequent adjustments, underestimation of their values, and in general, requiring a change in the format of the entire State Planning System. Economic risks and market conditions are not taken into account, as a result of which there is a reduction in funding for budget programs, leading to an adjustment of plans. The basic list of indicators is formed at the central level and often the socio-economic characteristics at the local level are not taken into account. When determining indicators, the top-down method does not always take into account the question of how these indicators should be implemented and how many parties are involved in the implementation.

Secondly, the developers and the executors of the strategic plans of the ultimate goal have different understanding, as a result of which the quality of the execution of orders suffers, the lack of responsibility of the first leaders can be noted as well;

Third, the imperfection of the legislative framework. For example, the assessment of local executive bodies is influenced by indicators that do not fully depend on the activities of LEB. In addition, the assessment scale requires revision. According to the current scale, overfulfillment of the indicator by 26% is a more flagrant violation than failure to achieve by 30%.

Fourthly, low competence of individual employees, staff turnover, lack of interest and motivation of employees, primarily managers.

Fifth, the dependence of the implementation of plans on the effectiveness of interaction between state bodies. Basically, strategic goals are multifactorial and their achievement does not depend on one state body, but often on the interaction of several state bodies.

For example, life expectancy depends not only and not so much on the quality of medicine (MH), but also on the standard of living of people (MLSPP, MNE, LEB, etc.), the quality of food and water (MA), ecology (ME), physical and psychological health of people (MCS), etc. state bodies lack the competencies and resources to achieve their goals, since they go beyond their jurisdiction.

It is necessary to learn how to model the achievement of strategic goals, identify the components of each goal and decompose them into a separate area and industry. Only in this case, state bodies will have the opportunity to achieve their goals.

5. What would you like to change in the methodology of the Assessment for the “Achievement of goals” module?

The experts noted the advisability of revising the list of indicators for which the assessment is carried out, the scale of assessment for achievement and overfulfillment needs to be improved.

It is also noted that the assessment according to the criterion "The effectiveness of the implementation of budget programs in achieving the goal of the strategic plan" does not fully stimulate state bodies to achieve the indicators of budget programs. For example, if the results are achieved by 75%, and funds are disbursed by 63%, the efficiency ratio will be 1.2, that is, the same as when the results are 100% and the funds are disbursed by 84.5%.

Experts propose to abolish deductions for overfulfillment of indicators that have a negative dynamic (indicators of mortality, public safety, etc.), since these indicators are difficult to predict and their overfulfillment has only a positive effect on the SED.

In accordance with the Methodology for assessing the effectiveness of achieving goals, the operational assessment for the module of achieving goals is carried out by the following state bodies:

The Office of the Prime Minister of the Republic of Kazakhstan;

MF;

The Accounts Committee (from 2020);

MNE (until 2020).

The system of bodies authorized for operational assessment in the “Achievement of goals” module is presented in Table 1.6.

Table 1.6 - The system of bodies authorized for operational assessment for the "Achievement of goals" module

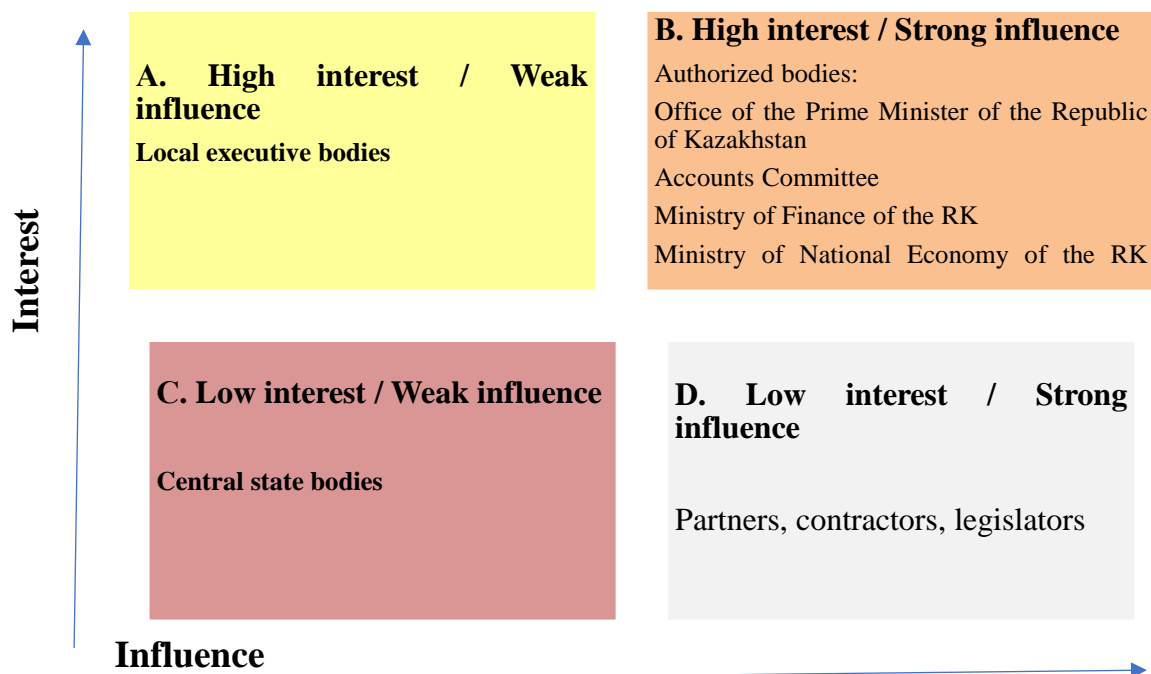
<b>№</b>	<b>Name of the state body</b>	<b>Functions</b>	<b>Credentials</b>
1	Office of the Prime Minister of the RK		operational assessment of the effectiveness of the authorized body for budget execution
2	Accounts Committee *		assessment of the effectiveness of state bodies in achieving the goals of territorial development programs
3	MF	authorized body for budget execution	assessment of the effectiveness of local executive bodies in achieving indicators of budget programs, the quality and content of publications of the Civil Budget of local executive bodies, assessment of the use of new budgeting practices (budget of public participation) of local executive bodies, as

			well as rechecking the reporting data of local executive bodies on the implementation of budget programs
4	MNE**		assessment of the effectiveness of local executive bodies in achieving the goals of the TDP
* from 2020 ** until 2020 Note: compiled by the authors			

To determine the degree of influence and the level of interest of stakeholders in the relevant issues of operational assessment of the activities of local executive bodies, we used the Matrix Important / Influence method<sup>26</sup>. It allows to understand the importance and influence of each stakeholder.

In accordance with this method, all stakeholders are divided into four main groups, which are presented in Figure 1.5.

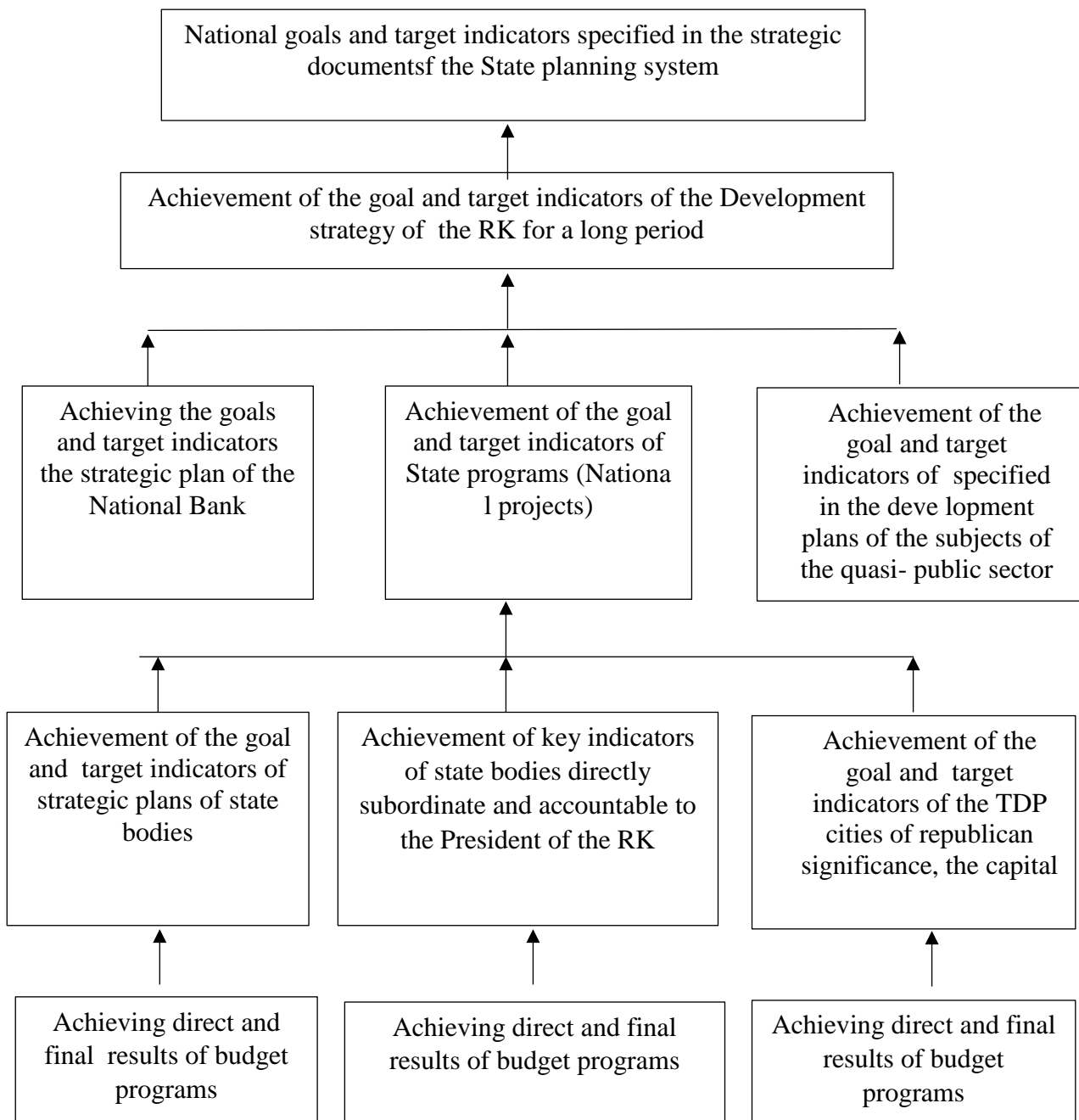
Summarizing the above, it can be stated that in the process of assessing the effectiveness of the activities of local executive bodies, a large number of labor resources are involved, these are employees of the Office of the Prime Minister of the Republic of Kazakhstan, MF, the Accounts Committee, and MNE.



Note: compiled by the authors

<sup>26</sup>Tool 12: Stakeholder Analysis: Importance/Influence Matrix  
//URL:[http://www.mspguide.org/sites/default/files/tool/12msp\\_tools\\_importance\\_influence\\_matrix\\_12.pdf](http://www.mspguide.org/sites/default/files/tool/12msp_tools_importance_influence_matrix_12.pdf)  
Stakeholder Matrices – Guidelines // URL: [https://www.dors.it/public/ar54/20!!\\_Stakeholder\\_Matrices-Guidelines.pdf](https://www.dors.it/public/ar54/20!!_Stakeholder_Matrices-Guidelines.pdf)

Figure 1.5 - MatrixImportant / Influence for the "Achievement of goals" module



Note: compiled by the authors

Figure 1.6. Tree of problems for the module "Achievement of goals" for central state bodies

In our opinion, in order to optimize the resource support of the process of assessing the effectiveness of the activities of state bodies, it is necessary to use project management, in particular, use a cross-platform (EasyProject).

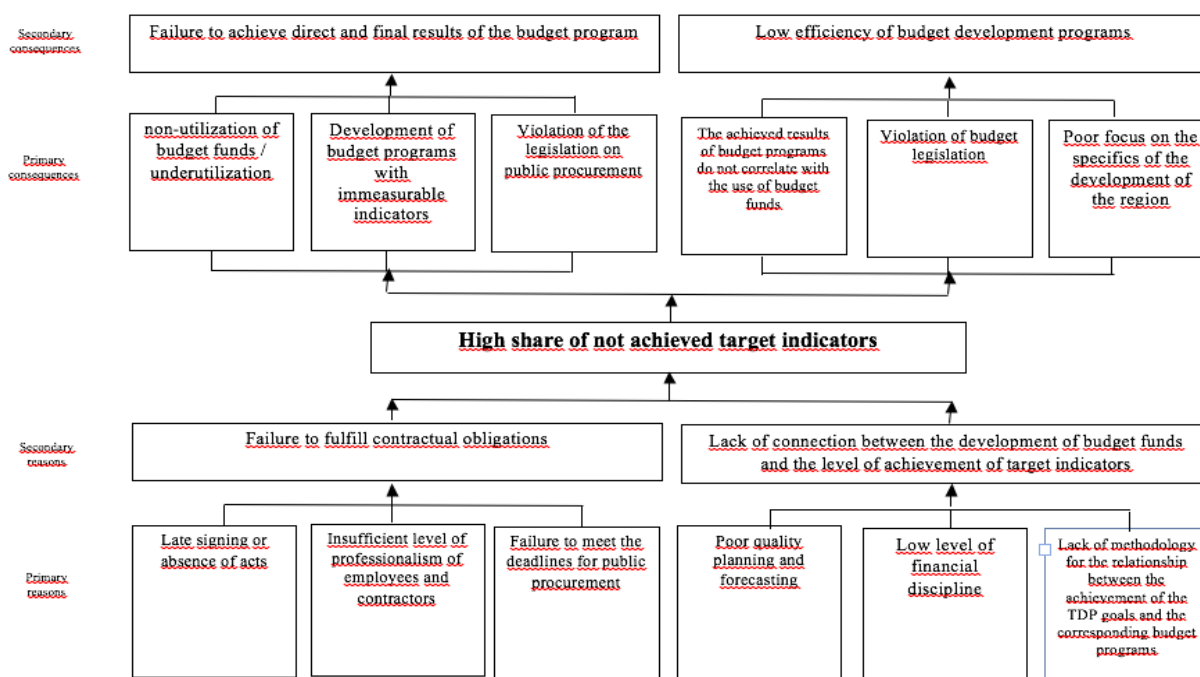


Using the "ProblemTree"<sup>27</sup> method, an overview of the problems of assessing the effectiveness of the activities of state bodies in the module "Achievement of goals" was compiled by identifying the main causes and their most important consequences (Figure 1.6).

Methodological support for assessing the effectiveness of the activities of state bodies in the areas indicated in the tree of goals requires its systematic construction and stage-by-stage development and implementation in the republic. Therefore, research on these issues needs to be carried out in stages, with priority topics being identified.

It should be noted that the data of the Center for evaluation of the effectiveness of state bodies ([www.bagalau.kz](http://www.bagalau.kz)) were used as sources for the construction of the "ProblemTree" for the LEB.

As can be seen from Figure 1.7, we have identified the main problem of the LEB "High share of not achieved target indicators" based on the analysis results, identified primary and secondary causes that negatively affect the achievement of direct and final results of the budget development program, the effectiveness of the implementation of the budget program for the development of territories. Accordingly, these reasons give rise to negative consequences of the effectiveness of achieving goals.



Note: compiled by the authors

Figure 1.7. Problem tree for the "Achievement of goals" module for LEB

<sup>27</sup>Problem and Objective Tree Analysis // URL: [https://www.measureevaluation.org/resources/training/capacity-building-resources/basic-me-concepts-portuguese/problem\\_tree.pdf](https://www.measureevaluation.org/resources/training/capacity-building-resources/basic-me-concepts-portuguese/problem_tree.pdf)

STEP UP Glasgow –Problem-Solution Tree Analysis Guidebook.pdf // URL:

<https://www.stepupsmartcities.eu/Portals/51/Tools%20and%20Resources/Training/STEP%20UP%20Glasgow%20-%20Problem-Solution%20Tree%20Analysis%20Guidebook.pdf>

## **1.5 Determining of criteria and indicators for evaluating the efficiency**

Criteria and indicators for assessing the effectiveness of central state bodies are defined in the following directions:

1. Achieving the goal of the strategic plan.
2. Effectiveness of the execution of budget programs in achieving the goal of the strategic plan.
3. Relationship between the goals of the strategic plan and budget programs
4. Quality and content of Citizens Budget publications.

To assess the performance of local executive bodies, criteria and indicators are defined in the following directions:

1. Achieving the goal of the territorial development programs
2. Absence of violations of budgetary legislation following the audit of budget development programs.
3. Achievement of direct results of budgetary development programs.
4. Efficiency of budget programs execution.
5. Quality and content of Citizens Budget publications.
6. Use of new budgeting practices.

In these categories and parameters, in the first place, there are no indicators of the current budget programs of the central state and local executive bodies. In the republic, the share of current expenditures in the total volume of the republican budget is more than 75%, and in local budgets it comprises more than 80%. If we do not evaluate the effectiveness of the use of budget funds for these budget programs, then how can we assess the impact of budget funds on the achievement of the goals and target indicators of the strategic plan of the central state bodies and the achievement of the goals of territorial development programs in the republic?

Therefore, in our opinion, the methodology should separately indicate the criteria for the current budget programs and budget development programs. At the same time, when determining these criteria for central state bodies, the degree of their participation in the implementation of state programs, as well as in the implementation of the strategic development plan of the Republic of Kazakhstan for 10 years, should be taken into account. On the basis of this approach, it is possible to objectively assess the influence of these state bodies on the development of the country's economy, a single branch (sphere) of the economy.

For local executive bodies, it is also necessary to take into account the degree of their participation in the implementation of state programs.

The Methodology for the Operational Assessment of the “Achievement of the Goal” module, developed by the Accounts Committee and the Ministry of Finance, also lacks criteria and indicators for comprehensive assessment of the impact of central state bodies and local executive bodies on the development of the country's economy in a particular branch (sphere) of the economy. In the current methodology, to assess the achievement of goals, indicators are used: the number of goals achieved without taking into account and taking into account the budget, the number of goals not

achieved without taking into account the budget, as well as the average number of target indicators to achieve the corresponding goal of the strategic plan.

In turn, the achievement of target indicators is assessed on the basis of the following indicators: the number of target indicators achieved, partially achieved target indicators, unreached target indicators, as well as target indicators not taken into account.

The analysis of these indicators shows that in the central state bodies the average number of target indicators for achieving the corresponding goal in one state body is 1.8, and in the other it is 10.2. In addition, the proportion of target indicators not taken into account in 6 central state bodies is 0%, and in MDDIAI 50% and in MNE 44%. The ratings of these two bodies for the “Achievement of Goals” module in 2019 were 90.1 and 94 points, respectively. The ratings of the Ministry of Education and Science, as well as the Ministry of Labor and Social Protection, with full consideration of the target indicators, were 80.9 and 89.3 points respectively. All these facts indicate that the fewer target indicators for achieving one goal and the more target indicators that are not taken into account, the higher is the score of the central state bodies in the “achievement of goals” module. Target indicators for achieving one goal and target indicators that are not taken into account are not taken into account in the final calculation of the coefficient of achieving the goals of the strategic plan, but the presence of facts of over fulfillment of indicators, adjustment of planned values downward, absence of positive dynamics of the actual values of target indicators in comparison with last year.

The effectiveness of the implementation of budget programs to achieve the goals of the strategic plan is assessed based on the achievement of the result of budget programs. In 2019, 74 out of 223 budget programs, or 78.02%, were fully implemented. At the same time, the use of budgetary funds amounted to 99.94%. These facts indicate that in assessing the effectiveness of the implementation of budget programs today, special attention is paid to the issues of the development of budget funds, and not to the achievement of direct and final results.

In 2019, the achievement of direct results in full was provided for 947 budget programs or 93.48%, and the achievement of final results was provided for 308 budget programs or 84.3%.

In the republic, the results of audit activities show that according to budgetary development programs, there is often a complete achievement of direct results in the absence of final results.

Consequently, in order to increase the efficiency of the use of budget funds and their multiplier effect, the efficiency of the implementation of budgetary development programs and the achievement of final results should be considered the main criteria. In turn, direct results are mainly characteristic of current budget programs.

It should be noted that in the republic in recent years, accounts receivable have been increasing, the main reason for which is the transfer of advance payments at the end of the year and the allocation of funds from the budget for outstanding work and not rendered services, which affect the achievement of direct and final results.

Therefore, in our opinion, the formation of accounts receivable should become one of the criteria for assessing the effectiveness of the execution of budget programs.

When determining the coefficients of the execution of budget programs for achieving goals, the indicators of the number of goals and the coefficient of the effectiveness of the execution of budget programs, calculated according to the current method, were used. When assessing the unused number of budget programs for central state bodies in the context of goals and target indicators, the absence of financial and other violations of budget programs were not taken into account. There remains a gap between the results of achieving goals and the disbursement of budget funds, and there are facts of full disbursement of budget funds without achieving direct and final results under budget programs. Consequently, the criteria and indicators of the current methodology do not allow a comprehensive and reasonable assessment of the effectiveness of the implementation of budget programs in achieving the goals of the strategic plan.

A similar situation is observed in assessing the relationship between goals and the effectiveness of the implementation of budget programs.

Assessment of the activities of central state bodies in terms of the quality and content of publications of the Civil Budget is carried out in accordance with the requirements for publications on official Internet resources, state bodies of the Civil Budget. The requirements are determined by the rules for drawing up and submitting the Civil Budget approved by the order of the Ministry of Finance of the Republic of Kazakhstan.

Thus, to assess the effectiveness of central state bodies in this area, indicators are used: the level of compliance in percent and penalty points.

The methodology provides for penalty points for the following indicators: inaccurate information, incomplete information, untimely posting of reporting information, overfulfillment of the results of budget programs, the lack of methods and calculations for target indicators. In our opinion, these indicators are poorly focused on a well-grounded and high-quality definition of goals and target indicators of the strategic plan, on increasing the efficiency of the use of budgetary funds, focused on the final result.

As a result, planning of target indicators, direct and final results of budget programs is of insufficient quality. Therefore, it is necessary to revise and supplement the criteria and indicators for assessing the effectiveness of central state bodies in all four areas specified in the current Methodology.

In the republic, the assessment of the activities of local executive bodies is carried out in 6 areas. To assess the achievement of the goal and target indicators of the territorial development program, the following indicators were used: total goals and target indicators of territorial development programs (TDP), goals and target indicators achieved, partially achieved goals and target indicators, unattained goals and target indicators not taken into account goals and target indicators. At the same time, the assessment of achieving the goal and target indicators of the TDP was carried out according to the basic list of indicators for local executive bodies, approved by the order of the Ministry of National Economy.

This list contains criteria and indicators for the economy, social sphere and infrastructure. 15 criteria are given for economics, and 18 criteria for the social sphere, including indicators of public safety and law and order. For infrastructure, 7 criteria are indicated, including 3 indicators for ecology and land resources.

An analysis of the assessment of the activities of the LEB according to these criteria and indicators shows that the failure to achieve the planned values for indicators in one area amounted to 7 indicators, and in another area 20 indicators. The areas where the number of unfulfilled target indicators is 2.5-3 times higher than in other areas receive the same points in the assessment. These facts indicate that there are some shortcomings in assessing the effectiveness of local executive bodies. Therefore, the criterion for their assessment and penalty points that are used in calculating points need to be revised.

In many areas, infrastructure criteria and indicators are met. Especially on environmental issues and land resources. In this direction, the basic list provides for the following indicators: the share of recycling and disposal of household waste to their generation, the share of solid waste disposal facilities that meet environmental requirements and sanitary rules, coverage of the population with wastewater treatment. As we can see, there are no indicators for land resources. In this regard, in our opinion, it is necessary to revise and supplement the criterion for ecology and land resources, taking into account the new requirements for these issues in the republic.

In the Methodology, it is advisable to consider the growth rates of tax and non-tax revenues separately and to show the real income index of the population differentiate by city and village.

Criteria in the areas of social spheres need to be revised and supplemented taking into account the pandemic and economic development.

Evaluation of the activities of the LEB according to the criterion "No violations of budgetary and other legislation based on the results of audits of development programs by governmental audit and financial control bodies for the period being assessed" is carried out according to the following indicators: the number of audits that covered the reporting period; the total amount of budget funds covered by the audit; revealed violations of budgetary and other legislation. These indicators are not sufficient to assess the effectiveness of the use of budget funds and to strengthen financial discipline. In this regard, in our opinion, the indicators for this criterion need to be revised and supplemented.

Achievement of direct results on budget development programs is carried out according to two indicators: "achievement of direct results of the budget development program" and "quality of planning performance indicators of budget programs."

To assess according to this criterion, the number of actually achieved indicators of each event and the total number of indicators of budget programs are used. In addition, information is used on the quality of planning performance indicators of budget programs, in particular, the number of programs with low-quality indicators and their percentage.

In our opinion, it is advisable to consider the criteria and indicators for achieving the final results on budgetary development programs.

The efficiency of implementation of budgetary development programs is determined on the basis of achieving direct results and the use of budgetary funds under these budget programs. At the same time, the results of the achievement of the final results and the absence of violations in these budget programs are not taken into account.

Evaluation of the effectiveness of the LEB is carried out on the basis of information on compliance with the rules for placing publications of the content of the Civil Budget.

The analysis of the reporting data of the regions shows that the implementation of new budgeting practices as a new instrument of budgetary relations is not practiced locally. At present, such work is carried out only by the Akimat of the city of Almaty, and is not carried out in other regions. In the city of Nur-Sultan, work is just beginning.

When assessing the effectiveness of the LEB, penalty points are used for the following indicators: inaccurate information, incomplete information, untimely placement of reporting information, overfulfillment of target indicators by 25% or more, overfulfillment of indicators of direct results of budget programs.

In our opinion, when determining penalty points, it is advisable to use the indicator of the number of target indicators not taken into account in the calculation of target indicators in the context of regions, as well as the share of unfulfilled basic indicators from their total number.

It would be necessary to establish penalty points for poor-quality formation of budget programs, as well as poor-quality definitions of direct and final results for current budget programs and budget development programs separately.

Thus, there are certain shortcomings in the methodology of operational assessment for the module of achieving the goal of central state bodies and local executive bodies. Therefore, the criteria and indicators for assessing the effectiveness of the central state and local executive bodies need to be revised and supplemented in all areas of assessing their activities.

The basic indicators used to assess the effectiveness of the LEB should be revised and supplemented in the areas of the economy, in the social sphere and infrastructure. At the same time, the situation with the coronavirus should be taken into account, and it is also necessary to pay attention to the expediency of the effectiveness of measures to support the population and small medium-sized businesses taken by the state. Consequently, the approach and methodology for assessing the effectiveness of the activities of central state bodies and local executive bodies should be systematically worked out in the republic.

## **Conclusions**

*Conclusions for the module "Achievement of goals" for assessing the effectiveness of the central state bodies.*

1) The study of regulatory legal acts shows that in the Budget Code of the Republic of Kazakhstan, the main directions for assessing the activities of central state

bodies are indicated. However, there is no comprehensive assessment of the impact of central state bodies on the implementation of goals and target indicators of documents of the state planning system. As a result, the target indicators and indicators of the strategic plan are not comprehensively aimed at achieving the target indicators of state programs, at the indicators of socio-economic development forecast for 5 years, as well as at achieving the national target indicators specified in the strategic development plan for 10 years.

2) An analysis of the practice of assessing the activities of central state bodies shows that the republic continues to practice understating the planned values of target indicators. A number of central state bodies, despite the actual excess of indicators in previous periods, leave the planned values of target indicators at the same level. Thus, they do not comply with the requirements of the methodology for developing strategic plans. In addition, indicators are installed that do not meet the requirements of the above methodology. There is no calculation methodology for some indicators.

3) The problem of poor-quality development of indicators of budget programs remains urgent in the republic. Thus, the lack of interconnection of indicators of budget programs with the goals of the strategic plan was noted in 16 budget programs of 11 central state bodies. For example, according to the assessment, in 2019 the interaction of the indicators of budget programs (22) with the target indicators of the strategic plan was 29% in the Ministry of Education and Science. At the same time, 14 indicators (30%) out of 46 final results of budget programs were not met, and 24 indicators (15%) out of 157 direct results were not done. Consequently, the criteria for evaluating the effectiveness of the implementation of budget programs do not reflect the real situation of the impact of budget funds on the final results.

4) The results of the audit effectiveness conducted by the Accounts Committee in the context of budget programs administrators are poorly used in the republic. In some foreign countries, the assessment of the effectiveness of ministries is carried out mainly on the basis of the results of the performance audit carried out in these countries.

*Conclusions for the module "Achievement of the goals" of assessing the effectiveness of the activities of local executive bodies.*

1) The impact of the territorial development program on the achievement of the goals and target indicators of the state program for the development of regions until 2020, as well as on the goals and target indicators of other state programs are not being assessed in the republic.

2) The basic indicators were used, which were approved by the order of the Minister of National Economy of the Republic of Kazakhstan dated December 19, 2019 in order to assess the effectiveness of achieving the goals of the territorial development program. The Order determined 40 basic indicators for various sectors of the economy, before the adoption of this order there were 80. In practice, the oblasts have not fulfilled from 7 to 20 basic indicators. For example, in the West Kazakhstan region, the planned value of 7 basic indicators has not been fulfilled, which 2 of them were in the economy and 5 indicators were in the social sphere. In the Karaganda region, 20 indicators were not met, 9 indicators of them were in the economy, 8 indicators were in the social sphere, and 3 indicators were for infrastructure. At the

same time, the final scores of these areas for achieving the goals are 76.4 and 74.7 points, respectively. Consequently, a reasonable determination of the list of basic indicators used to assess the effectiveness of the LEB is a relevant problem there.

3) Target indicators of the TDP are poorly focused on the specifics of regional development, there is no connection between the use of budget funds and the level of achievement of target indicators.

4) There is a low level of achievement of target values for socially significant indicators in the regions. Thus, 11 out of 17 LEB do not reach the planned values for 17 target indicators aimed at the development of the social sphere for the last two years in a row.

5) The poor-quality formation of direct and final results of budget programs is in the republic. According to the Accounts Committee, there is no possibility to conduct an assessment due to the poor quality definition of indicators, units of measurement and the lack of intermediate values for rolling projects in 20-24 budget development programs of local executive bodies annually.

6) There is no assessment of the effectiveness of the implementation of current budget programs by regions. However, the volume of costs for these programs is from 70 to 80% of the expenditures of local budgets.

7) The impact of the subjects of the quasi-public sector on the development of the regional economy and on the goals, target indicators of the TDP is not assessed in the republic.

## **Recommendations**

*Recommendations for improving the methodology for assessing the effectiveness of the activities of central state bodies in the module "Achievement of the goals":*

1) The assessment of the central state bodies for this module should be carried out according to 7 criteria. Currently, it is carried out according to the following criteria: achievement of the goals of the strategic plan, the effectiveness of the implementation of budget programs in achieving the goals of the strategic plan, the relationship between the goals of the strategic plan and budget programs, the quality and content of the publication of the civil budget. We propose new criteria "the relationship between the goals and target indicators of the strategic plan of the central state body with the goals and target indicators of state and government programs (national projects), as well as national target indicators specified in the strategic development plan of the Republic of Kazakhstan for 10 years" and "the impact of RSE, joint stock companies, limited liability partnership, subordinate central bodies on the goals and target indicators of its strategic plan." In addition, it is advisable to use the criterion "absence of financial, procedural and other violations" in accordance with the classifier of violations developed and approved by the Accounts Committee in order to assess the effectiveness of central state bodies. At the same time, identified amounts of financial violations based on the results of the governmental audit are subject to reimbursement to the budget, and restoration through the performance of work and the provision of



services, the supply of goods and recording on the basis of the instructions of the governmental audit and financial control bodies, a court decision. In this regard, it is necessary to indicate the share of the amount reimbursed to the budget and recovered amounts to the total amount of violations.

All this allows demonstrating a new approach to the assessment of goals achievements which consists of 4 levels:

–Assesment of efficiency of the budget programs implementation and the impact of subordinate CSB organizations on its goals and target indicators.

- Assessment of the achievement of goals and target indicators of the CSB and TDP.

- Assessment of the interconnection between the goal and target indicators of the CSB strategic plan with the goals and target indicators of the state programs (national projects).

- Assessment of the interconnection between the goal and target indicators of the strategic plan with the national indicators specified in the strategic documents of the SPS (State Planning System).

In our opinion such approach will provide a solution to the problems of the tree of objectives indicated in Figure 1.6.

2) The effectiveness of the implementation of central state bodies' budget programs should be assessed in 2 directions: the effectiveness of the implementation of current budget programs and the effectiveness of the implementation of budget development programs. In this case, the assessment of the effectiveness of the implementation of current budget programs should be carried out according to the following criteria: achievement of direct results; achievement of final results; the formation of accounts payable; no financial irregularities for this program.

3) The assessment of the effectiveness of the implementation of budgetary development programs should be carried out according to the following criteria: achievement of final results; achieving direct results; the formation of accounts receivable; no financial irregularities. For budgetary development programs, it is important to achieve final results.

4) Based on the use of the results of evaluating the effectiveness of budget programs in these 2 areas, an assessment of the management of central state bodies' budgetary funds is carried out. At the same time, the weight values can be 50 in each direction. It should depend on the amount of budgetary funds provided in the budget for the implementation of current budgetary programs and development programs.

5) The above features, in our opinion, should be taken into account when you assess the relationship between the goals of the strategic plan and budget programs.

6) The methodology for assessing the effectiveness of central state bodies should have a separate section "assessing the effectiveness of central state bodies directly subordinate and accountable to the President of the Republic of Kazakhstan", or a separate method, since they do not constitute a strategic plan. In our opinion, the assessment should be carried out according to the following criteria: the impact of the key performance indicators of these bodies on the achievement of national target

indicators specified in strategic documents; efficiency of budget funds management; efficiency of state assets management.

7) It is advisable to develop a methodology for assessing the effectiveness of the subjects of the quasi-public sector in the following areas in the republic: the effectiveness of the functioning of republican enterprises; assessment of the efficiency of joint stock companies with state participation; assessment of the effectiveness of the LLP. The lack of a methodology for assessing the impact of the activities of central state bodies on the development of the country's economy and individual sectors (spheres) of the economy, society does not allow a comprehensive assessment of the activities of these bodies. Therefore, it is necessary to develop such a Methodology, taking into account the new requirements for solving social and economic problems in the republic.

8) The results of the performance audit carried out by the Accounts Committee for water resources management of the assets of national and managing holdings and on other issues should be used to assess the performance of individual central state bodies.

9) It is paid great attention to the issues of improving monetary policy in the republic. In this regard, it is important to assess the effectiveness of the National Bank. Therefore, it is necessary to develop a separate Methodology for assessing the activities of the central bank in the republic as a state institution.

*Recommendations for improving the Methodology for assessing the activities of the LEB in the module "Achievement of goals".*

1) The Methodology provides 6 criteria for assessing the LEB for this module. In our opinion, it is necessary to supplement them with two criteria:

a) The relationship between the goals and target indicators of the TDP with the goals and indicators of the state program for the development of regions and other state programs;

b) The impact of the subjects of the quasi-public sector on the goals and target indicators of the TDP.

2) It is necessary to indicate the achievement of final results and assess the effectiveness of the implementation of the current budget programs of the LEB in the Methodology for budgetary development programs according to the following criteria: achievement of direct and final results, the use of budget funds, the absence of financial and other violations, receivable and payable accounts.

3) It is necessary to systematically work out a list of basic indicators by which the effectiveness of the LEB's activities are assessed. These indicators should be clarified and supplemented taking into account the new requirements for socio-economic development in the following areas:

- for the economy, the growth rates of tax revenues and non-tax revenues separately should be shown, as well as the index of real money income of the population for cities and villages separately should be indicated;

- for the social sphere, it is advisable to revise all indicators taking into account the current situation, in particular, taking into account the problems in the field of education and health;

- for sports, the number of visitors to sports facilities by region should be indicated;

-for infrastructure, indicators on the use of land resources in the regions should be indicated.

4) Taking into account the experience of the United States, it is necessary to use the results of the performance audit conducted by the Accounts Committee and the audit commissions in order to assess the performance of the LEB

5) It is advisable to develop a Methodology for assessing the impact of local state bodies on the development of the economy, individual sectors of the economy, as well as on the development of society.

6) It is necessary to use project management, in particular, use a cross-platform (EasyProject) in order to optimize the resource provision of the process of assessing the effectiveness of the activities of state bodies.

7) Assessment of efficiency of the CSB and LEB performance for the module "Achieving the goals" should be carried out by the Accounts Committee involving the review commissions of regions, cities of republican significance and the capital. Therefore, the Accounts Committee should anticipate the issues of assessing the efficiency of the CSB and LEB performance in the module "Achievement of goals" providing the Executive Office of the President of the Republic of Kazakhstan with the results. In addition, it is advisable to involve international experts in assessing by the example of Malaysia.

In our opinion, the use of these recommendations will improve the system for assessing the effectiveness of the state bodies and will contribute to the achievement of the tree of goals, national indicators specified in the strategic documents of the first level of the State Planning System.

## CHAPTER 2 ASSESSMENT OF THE INTERACTION OF THE STATE BODY WITH CITIZENS

### 2.1 Analysis of legal regulation for assessing the activities of state bodies

Since 2020, the assessment for the section "Interaction of the state body with individuals and legal entities" is carried out in accordance with the Methodology for the operational assessment of the interaction of the state body with individuals and legal entities (hereinafter - the Methodology).<sup>28</sup>

The assessment is carried out by the following authorized bodies:

- By the Administration of the President of the Republic of Kazakhstan - an operational assessment of the effectiveness of the activities of the General Prosecutor's Office of the Republic of Kazakhstan (hereinafter - the General Prosecutor's Office) in the section "Interaction of a state body with individuals and legal entities", the Agency of the Republic of Kazakhstan for Civil Service Affairs (hereinafter - the ACSA) in the direction of "Quality of provision of public services".

- By the Office of the Prime Minister of the Republic of Kazakhstan - an operational assessment of the effectiveness of the activities of the Ministry of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan (hereinafter - the MDDIAI) for the provision of public services in electronic format and their automation, operational assessment of the effectiveness of the Ministry of Information and Social Development of the Republic of Kazakhstan (hereinafter - MISD) in the direction of "Openness of the state body";

The purpose of the assessment for this section is to determine the effectiveness of the activities of the state body in providing individuals and legal entities with affordable and high-quality state services.

The assessment for this section includes three areas:

- 1) the quality of the provision of public services,
- 2) openness of state bodies,
- 3) consideration of complaints and applications.

1) *Direction "Quality of the provision of public services"*.

Assessment in the direction "Quality of public services" is carried out in accordance with the Law of the Republic of Kazakhstan "On public services".<sup>29</sup>

According to Article 26 of the Law of the Republic of Kazakhstan "On Public Services", state control over the quality of the provision of public services is based on

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<sup>28</sup>Methodology for the operational assessment of the interaction of a state body with individuals and legal entities. Order of the Chairman of the Agency of the Republic of Kazakhstan for Civil Service Affairs dated March 5, 2020 No. 44, Deputy Chairman of the Committee on Legal Statistics and Special Accounting of the General Prosecutor's Office of the Republic of Kazakhstan No. 40 dated March 10, 2020, Minister of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan dated 10 March 2020 No. 87 / NK and the Minister of Information and Social Development of the Republic of Kazakhstan dated March 11, 2020 No. 82

<sup>29</sup> Law of the Republic of Kazakhstan "On Public Services" dated April 15, 2013 No. 88-V (with amendments and additions as of June 25, 2020).

the principles of legality, objectivity, impartiality, reliability, comprehensiveness and transparency.

According to Article 27, the object of state control is activities in the provision of public services by state bodies at all levels of government, as well as legal entities and individuals providing public services in accordance with the legislation of the Republic of Kazakhstan.

Article 28 determines the procedure for assessing the quality of the provision of public services, in which it is legally enshrined, which is carried out by the authorized state body, and the assessment of the quality of public services provided in electronic format is the authorized body in the field of informatization.

According to Article 29, public monitoring of the quality of the provision of public services is carried out by individuals, non-profit organizations on their own initiative and at their own expense. In addition, this monitoring is carried out by the state social order by the authorized body for the assessment and control over the quality of the provision of public services.

Public monitoring to determine the level of satisfaction with the quality of the provision of public services is carried out by the Civil Service Affairs Agency of the Republic of Kazakhstan (hereinafter CSAA) of the Republic of Kazakhstan under the state social order.

In accordance with the Methodology in the direction of "Quality of provision of public services" of the section "Interaction with citizens" is carried out by the CSAA, as well as by the Ministry of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan (hereinafter referred to as MDDIAI).

An operational assessment of the quality of the provision of public services is carried out for public services specified in the Register of Public Services.<sup>30</sup>

In 2020, by order of the Minister of MDDIAI of the Republic of Kazakhstan, the list of proactive public services and the "Rules for the provision of proactive public services" were approved, which introduces the concept of "proactive service - a public service provided in electronic form, provided at the initiative of the service provider, for the provision of which mandatory consent is required. The subject of receiving the service, provided through the subscriber device of cellular communication". The list includes 11 proactive government services.<sup>31</sup>

## 2) *Direction "Openness of state bodies"*.

Operational assessment in this area is carried out by MISD.

In accordance with paragraph 10 of Chapter 2 of the Methodology, the source of information for conducting an operational assessment in the direction of "Openness of a state body" is the download of information from the Internet portals of the "Open Government" and the reporting data of the evaluated state bodies.

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<sup>30</sup> The register of public services, approved by the Decree of the Government of the Republic of Kazakhstan dated September 18, 2013 No. 983.

<sup>31</sup> Order of the Minister of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan dated February 20, 2020 on the approval of the Rules for the provision of proactive public services.

In accordance with the Law of the Republic of Kazakhstan "On informatization"<sup>32</sup> and Article 17 of the Law of the Republic of Kazakhstan "On Access to Information"<sup>33</sup> the web portal "Electronic government" contains information on the Internet portals "Open data", "Open budget", "Open legal acts", "Open dialogue" and "Open subordinate organizations", which citizens can receive and use, as well as they can participate in its discussion.

3) *Direction "Consideration of complaints and applications"*.

Operational assessment in this area is carried out by the Committee on Legal Statistics and Special Accounts of the General Prosecutor's Office of the Republic of Kazakhstan.

According to paragraph 9 of Chapter 2 of the Methodology, the sources of information for conducting an operational assessment of work in the area of "Quality of handling complaints and applications" are:

- information of the Automated Information System "Unified Registration of Applications" obtained from information systems of state bodies;
- data of the statistical report No.1-OJI "On consideration of applications of individuals and legal entities" approved by the Prosecutor General by order of the Republic of Kazakhstan dated December 18, 2015 No.147 "On approval of the Rules for recording applications of individuals and legal entities" (registered in the Register of State Registration of Regulatory Legal Entities acts for No. 12893);
- automated information systems "Unified statistical system";
- court decisions that have entered into legal force,
- the results of inspections carried out in the assessed state bodies.

To eliminate the risk of manipulation and the "human factor", as well as the unity of approaches and principles to the assessment of state bodies, the General Prosecutor's Office proposed the introduction of uniform criteria for assessing law enforcement agencies within the framework of the System of annual performance assessment of the Central State Bodies and Local Executive Bodies of regions, cities of republican significance, the capital, approved by the Decree of the President dated March 19, 2010 No. 954 (letter from the General Prosecutor's Office to the Presidential Administration dated December 21, 2018, ref. No. 2-20-18-11100).

The study on the level of public confidence is carried out by the Committee on Statistics of the Ministry of National Economy on an annual basis (clause 13 of the Action Plan for monitoring the execution of orders, data based on the results of assessing the effectiveness of the activities of state bodies for 2017, approved by order of the Chief of Staff of the Presidential Administration of October 12, 2018 No. 18-01-38.32).

It should be noted that the bodies of the anti-corruption service and the economic investigation service are not included in the list of bodies subject to the Assessment. Currently, in accordance with clause 9 of the Minutes of the meeting with the Head of the Presidential Administration of March 2 of this year. The issue of including the Anti-Corruption Agency in this Assessment is under consideration.

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<sup>32</sup> Law of the Republic of Kazakhstan "On Informatization" dated November 24, 2015 No. 418-V 3PK

<sup>33</sup> Law of the Republic of Kazakhstan "On Access to Information" dated November 16, 2015 No. 401-V 3PK

Currently, legal statistics are accumulated in 10 information systems: Unified statistical system, Special records, Automated fingerprint information system, Unified requests registration, "Shekteu" Centralized data bank of debtors, Information service, System of information exchange between law enforcement and special State and other bodies, Unified register of pre-trial investigations, "Kadagalau" IS, Committee of Legal Statistics and Specialized Studies of the Office of the Attorney General (Oracle Bi).

In addition, the General Prosecutor's Office, together with other interested bodies, is implementing a number of other digital initiatives in the law enforcement sphere (E-appeals, the Unified register of subjects and objects of inspection, the Analytical Center), which will significantly optimize work processes and strengthen the protection of the interests of citizens and business.

Improving the collection, processing and analysis of statistical information is inextricably linked with the development of information systems, forecasting and analytical programs and the introduction of new IT technologies. The criminal and administrative process is being gradually transferred to an electronic format, the procedure for the provision of public services is being automated, the procedure for assigning and registering inspections, as well as work with appeals, etc.

Having studied the regulatory legal acts and the Methodology, we conducted a SWOT analysis, which made it possible not only to identify a number of problems in its implementation, but also to identify possible points of increasing the efficiency of the operational assessment system. (table 2.1)

Table 2 - SWOT-analysis of regulatory legal acts for the section "Interaction of state bodies with individuals and legal entities"

<b>Strengths</b>	<b>Weaknesses</b>
<p>The presence of political will on the part of the country's leadership to improve systems for assessing the effectiveness of the activities of administrative civil servants and state bodies;                      The presence of a conceptual, regulatory and organizational framework for the regulation of assessment procedures;                      Availability of regulatory legal acts of various levels that ensure the assessment of this section</p>	<p>Dominance of the functional approach in the regulatory legal acts, focus on performing functions, rather than achieving specific results;                      A complex assessment methodology for this, as a result, an insufficiently high level of focus on the needs of external consumers and the lack of effective feedback;                      A large number of indicators and the complexity of the assessment leads to the erosion of clear strategic priorities in the activities of state bodies and the dominance of current affairs in the organization of work;                      Formalism when using the methodology with its excessive detail leads to a conflict of departments (in monitoring and control);                      Duplicate functions in the normative legal acts lead to red tape and departmental disunity of state bodies, which negatively affects the level of satisfaction with the quality of public services.</p>

Opportunities:	Threats:
Political, regulatory and substantive support for the reform in assessing the effectiveness of state bodies Opportunity for state bodies to attract additional funds to optimize government services; Introduction of new electronic services, including on mobile devices to provide proactive services; The constantly growing level of public access to open data increases the level of their involvement in the decision-making process	Incomplete implementation of the provisions of the normative legal acts on the interaction of state bodies with citizens and, as a rule, a decrease in the level of trust of residents in state bodies due to a lack of understanding by the population of measures aimed at development; Inadequate control over the reliability of the assessment results; Incommensurate costs associated with increasing the efficiency and effectiveness of state bodies (the cost of training, acquisition and implementation of information technology); Lack of a competitive environment in the provision of public services.
Note: compiled by the authors	

As can be seen from Table 2, the strengths of the Methodology are the hierarchy of regulatory legal acts, including the Decree of the President of the Republic of Kazakhstan, the Law of the Republic of Kazakhstan, Orders of the authorized body, rules.

For example, we referred to the weaknesses as "Dominance of the functional approach in the regulatory legal acts, focus on the performance of functions, and not on the achievement of specific results." In particular, an example of this situation can be the analysis of the Internet portal "Assessment of Effectiveness" showed that the information in the section "Assessment Results" is irrelevant and not presented in full. Historical data and full version of reports are missing. So, the latest infographic is for 2018. Analysis of the data "Key indicators" showed that the reports of many state bodies are not updated. So, for example, the Ministry of Internal Affairs of the Republic of Kazakhstan published an empty file in the "Reports" section, the Ministry of Health and Social Development published the reports for 2014-2018, the Ministry of Foreign Affairs of the Republic of Kazakhstan - a report for 2015, the Ministry of Health and Social Development of the Republic of Kazakhstan, Agency of the Republic of Kazakhstan for Civil Service Affairs - there are no reports. This became possible in the conditions of the current Methodology, which approved the indicator of filling in the mandatory sections of the Internet portal "Assessment of effectiveness", but does not provide an indicator for assessing the quality of this result.

As for the "Threats" section, for example, according to the report "Analysis of the results of assessing the effectiveness of state bodies for 2019 in the context of assessment blocks", the Accounts Committee revealed incomplete implementation of the provisions of the regulations on interaction of state bodies with citizens and, as a rule, a decrease in the level of trust of residents in state bodies in due to the lack of understanding by the population of measures aimed at development.



Regarding the undeveloped competitive environment in the provision of public services, it should be noted that the opinion of the deputy A. Peruashev<sup>34</sup> is insufficiently defined the criteria for selecting public services in the non-public sector. So, this is characterized by departmental disunity and low responsibility of executors from non-state bodies for the provision of public services, while "employees of ministries and akimats are liable up to criminal responsibility for abuse and corruption in the exercise of their powers."

Opportunities, in our opinion, are that amendments and additions can be made to the normative legal acts, which generally improve the quality of the assessment itself.

## 2.2 Analysis of the assessment methodology

Analysis the regulatory legal framework for approaches and methods for assessing the effectiveness of state bodies has showed that the methodology of the Assessment itself is quite flexible and adaptable to changing conditions. Over the past 10 years, adjustments have been made to improve the Methodology, which made it possible to move towards the formation of a service model of interaction.

Operational Evaluation Methodology state bodies on interaction with individuals and legal entities includes three main areas, each of which has its own criteria. (Figure 2.1)

The overall score for this section is calculated using the following formulas:

For central state bodies:

$$O = 0.5 * U + 0.3 * D + 0.2 * H$$

where: O - general operational assessment of the central state body for the section "Interaction with citizens";

U - operational assessment of the central state body in the direction of "Quality of the provision of public services";

D - operational assessment of the central state body in the direction of "Openness of the state body";

H - operational assessment of the central state body and local executive body in the direction "Consideration of complaints and applications of citizens".

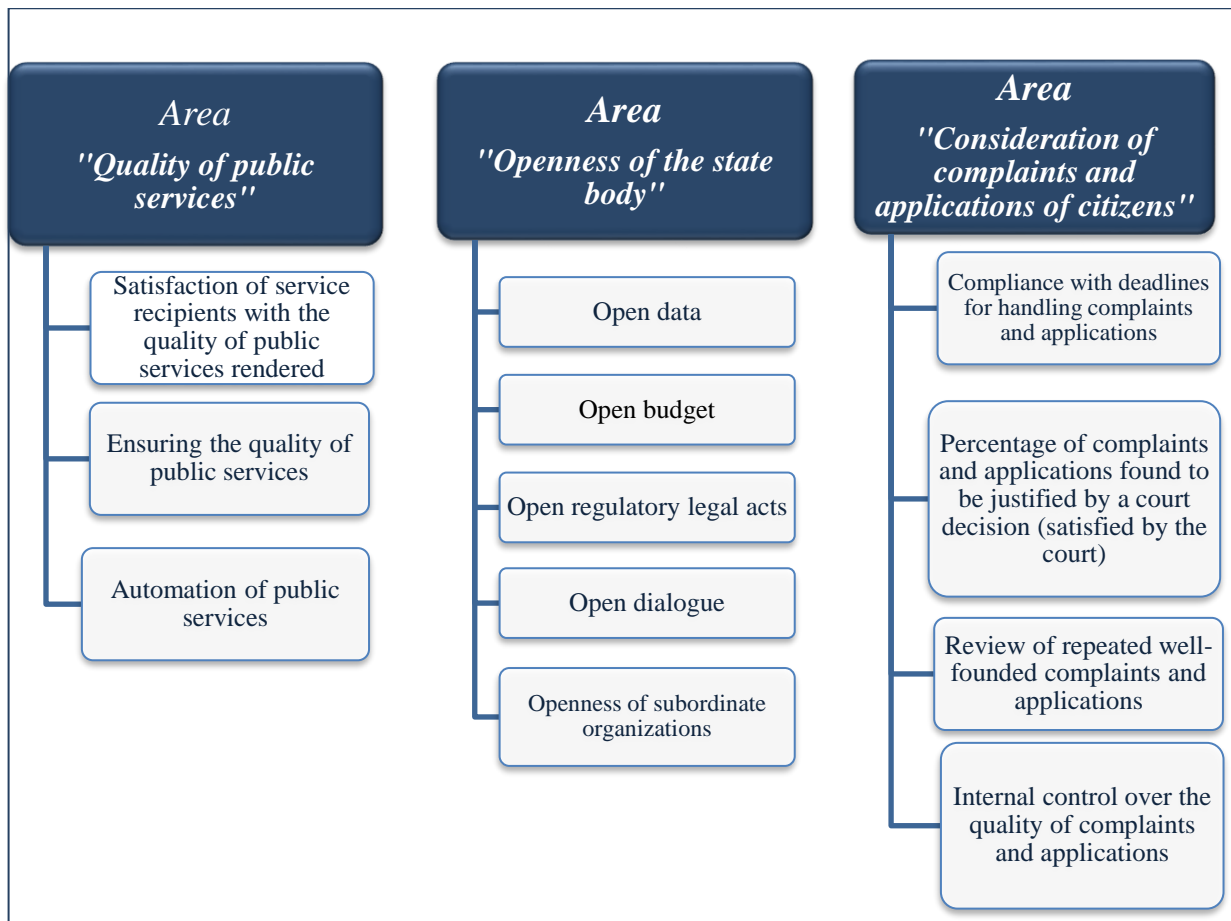
For local executive bodies:

$$A = 0.5 * T + 0.3 * F + 0.2 * H$$

where: A - general operational assessment of the local executive body for the section "Interaction with citizens";

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<sup>34</sup> The state wants to actively transfer its functions to business // URL: <https://inbusiness.kz/ru/news/gosudarstvo-hochet-aktivno-peredavat-svoi-funkcii-biznesu>



Note: compiled by the authors

Figure 2.1 - Directions and evaluation criteria for the section "Interaction of the state body with individuals and legal entities"

T - operational assessment of the local executive body in the direction of "Quality of the provision of public services";

F - operational assessment of the local executive body in the direction of "Openness of the state body".

In accordance with the Methodology, assessment indicators have the following gradation:

- high degree of efficiency of the state body - from 90 to 100 points,
- medium degree - from 70 to 89.99 points,
- low degree - from 50 to 69.99 points.
- ineffective activity of a state body - less than 50 points.

a) Methodology for operational assessment of the activities of a state body in the direction of "Quality of public services."

In accordance with the new Methodology in this direction, out of 7 criteria, only old 3 criteria remained, two of them are old criteria and 1 new criterion "Automation of public services" was added. (Table 2.2)

Table 2.2 - Comparative analysis of the operational assessment methodology in the direction of "Quality of the provision of public services"

No.	Old methodology (2017)	New methodology (2020)
1	<b>The criterion "Satisfaction of service recipients with the quality of public services "</b>	
	<p><math>K1 = P1 + P2</math></p> <p><math>M1 = P1 + P2</math></p> <p>K1 - assessment of the CSB according to this criterion</p> <p>M1 - assessment of the LEI according to this criterion</p> <p>P1 - the value of the indicator "Level of satisfaction with the quality of the provision of public services</p> <p>P2 is the value of the indicator "Measures to improve the satisfaction of service recipients"</p>	<p>Change in P2:</p> <p>P2 is the value of the indicator</p> <p>"Appealing the quality of the provision of public services"</p>
2	<b>Criterion "Ensuring the quality of the provision of public services"</b>	
	<p><math>K3 = T1 + T2 + T3 + T4 + T5</math></p> <p><math>M3 = T1 + T2 + T3 + T4 + T5</math></p> <p>K3 - assessment of the CSB according to this criterion;</p> <p>M3 - assessment of the LEI according to this criterion;</p> <p>T1 is the value of the indicator "Unreasonable refusals to provide state services";</p> <p>T2 is the value of the indicator "Provision of public services with an incomplete package of documents";</p> <p>T3 is the value of the indicator "Request for documents not provided for by the standard state services ";</p> <p>T4 is the value of the indicator "Disruption of business processes for the provision of public services";</p> <p>T5 is the value of the indicator "Appeal of public services".</p>	<p><math>K2 = T1 + T2 + T3 + T4</math></p> <p><math>M2 = T1 + T2 + T3 + T4</math></p> <p>Changes in indicators:</p> <p><i>T1 - indicator value</i> "Compliance with the deadlines for the provision of public services";</p> <p><i>T2 - indicator value</i> "Unreasonable refusals to provide state services";</p> <p><i>T3 - indicator value</i> "Provision of public services with an incomplete package of documents";</p> <p><i>T4 - indicator value</i> "Request for documents not provided for by the standard of public services";</p>
3		<b>Automation of public services (new criterion)</b>
		$K3 = T + V - P + B$

		<p>K3 -operational assessment of the CSB for this criterion;  T is the value of the indicator "Transfer of public services into electronic format";  V is the value of the indicator "Efficiency of automation of public services";  P is the value of the penalty indicator "Duration of unavailability automated government services ";  B is the value of the incentive indicator "Automation of public services in reporting period ".</p>
<p>Note: compiled by the authors</p>		

As can be seen from Table 2.2, the operational assessment methodology in the direction of "Quality of Public Services Delivery" has been significantly simplified due to reductions in criteria and their indicators.

*b) Methodology for the operational assessment of the activities of the state body in the direction of "Openness of the state body".*

In accordance with the new Methodology, the operational assessment of the activities of a state body includes 5 criteria (instead of 2 previously existing criteria according to the old methodology), namely:

- 1) open data;
- 2) open budget;
- 3) open regulatory legal acts;
- 4) open dialogue;
- 5) openness of subordinate organizations.

The operational assessment of the activities of the state body is carried out in accordance with Appendices 9 and 10 of the Methodology. Each criterion is estimated at 25 points. In general, it should be noted that the methodology in this area is completely new.

In our opinion, the effect of openness lies in the use of innovative methods of integrating the state and society, as well as incentives to reduce costs in interdepartmental and interregional cooperation.

Today there is no single definition of "openness of the state" due to different approaches, taking into account the specifics of countries. Nevertheless, we adhere to the position that the openness of the state consists of informational and functional openness, as well as open dialogue.

*Information transparency* during a pandemic required a quick response from state bodies, the effectiveness of their measures in the light of new challenges, the provision of prompt and reliable information from citizens, which entailed relevant reforms in the public administration system and transformational changes in society as a whole.

*The functional openness* of departments in the context of COVID-19 increases the predictability of actions of state bodies and effectively involves stakeholders in

solving socially significant tasks, the implementation of which is the responsibility of the state.

Communication methods and channels must be adapted according to the needs of the clients. In practice, most state bodies only post information on departmental websites and the Open Government portal, thereby limiting direct contacts with citizens.

*An open dialogue* in the context of a pandemic influenced the creation of effective interaction between government officials and business, public organizations and expert communities through various dialogue platforms.

In general, openness, as a multi-vector and flexible instrument of public administration, contributes to harmonious social changes and increases the level of citizens' trust.

*c) Methodology for operational assessment of the activities of the state body in the direction of "Quality of consideration of complaints and applications."*

In the old methodology in this area, 3 criteria were included:

- adherence to the terms of consideration of complaints and applications;
- the share of complaints and applications recognized as justified by a court decision (satisfied by the court) and satisfied by a higher authority;
- share of satisfied complaints and applications.

In accordance with the new Methodology, the operational assessment of the state body's activities includes 4 criteria, since a new one has been added to the existing ones - "internal control over the quality of consideration of complaints and applications".

Table 2.3

Table 2.3 - Comparative analysis of the methodology for the operational assessment of the state body in the direction "Quality of consideration of complaints and applications"

No.	Old methodology (2017)	New methodology (2020)
1	<b>The criterion "Compliance with the terms of consideration of complaints and applications "</b>	
1	$R1 = k * (1 - \left(\frac{f}{p} * 100\right))$	$R1 = k * (1 - \left(\frac{f}{p} * 1000\right))$ Change in indicator: 1000 - coefficient for determining the average value of time violations by 1000 complaints and applications reviewed.
2	<b>The criterion "The share of complaints and applications recognized as justified by a court decision (satisfied by the court) "</b>	
	$R2 = k * (1 - \left(\frac{a + c}{b} * 10\right))$ $R2 = k * (1 - \left(\frac{a + c}{b} * 100\right))$ $R2 = k * (1 - \left(\frac{a + c}{b} * 1000\right))$	New calculation formula: $R2 = (1 - \left(\frac{a}{p} * 10000\right)) * k$ R2 - operational assessment of the CSB or LEB according to this criterion; a - the number of complaints and statements recognized as justified by a court decision;

	<p>R2 - assessment of the CSB in this area and satisfied with the higher authority";</p> <p>k - coefficient for reducing the obtained results to a weight value (for a given the criterion for the CSB coefficient is 40);</p> <p>a - the number of complaints and applications of individuals and legal entities recognized as reasonable By the tribunal's decision;</p> <p>c - the number of complaints and applications of individuals and legal entities, satisfied by a higher authority, including for which the subordinate authorities have refused;</p> <p>b - the total number of complaints and applications of individuals and legal entities considered state body.</p> <p>Coefficient 10 is applied if the number of complaints considered by the state body and statements range from 10 to 999.</p> <p>Coefficient 100 is applied if the number of complaints reviewed by the state authority and applications is from 1000 to 4999</p> <p>Coefficient 1000 is applied if the number of complaints reviewed by the state authority and applications is from 5000 and more</p> <p>Note: similar formulas for the MPE</p>	<p>p - the total number of complaints and applications considered by the state body</p> <p>k - the coefficient for reducing the results obtained to a weight value (for the CSB, the coefficient is 30, for the IOI - 30);</p> <p>10000 - coefficient for determining the average value of complaints and applications, recognized as justified by a court decision (satisfied by the court) per 10,000 reviewed complaints and applications.</p>
3		<p><b>Consideration of repeated substantiated complaints and applications</b> <i>(new criterion)</i></p>
		$R3 = \left(1 - \left(\frac{n}{m} * 100\right)\right) * k$ <p>R3 - operational assessment of the CSB or LEB according to this criterion;</p> <p>n - the total number of repeated complaints and applications satisfied as a result consideration in a state body in the reporting period;</p>

		<p>m - the total number of complaints and applications considered by the state body in the reporting period;</p> <p>k - coefficient for reducing the results to a weight value (according to this criterion, the coefficient is 20);</p> <p>100 - coefficient for determining the average value of complaints and statements, justified upon re-consideration, per 100 complaints and applications considered by the state body in the reporting period.</p>
4		<p><b>Internal control over the quality of consideration of complaints and applications (new criterion)</b></p>
		<p>Points for this criterion are calculated in accordance with Appendix 13 of the new Methodology</p>
<p>Note: compiled by the authors</p>		

These analyzes of the table showed that in the direction of "Quality of consideration of complaints and applications", the method of operational assessment of the activities of a state body has significantly improved, both in qualitative and quantitative terms.

In general, according to the new methodology in the direction of "Quality of the provision of public services", the number of criteria has been reduced from seven to three.

In the direction of "Openness of the state body" the calculation method is new and includes 5 criteria. In addition, a new criterion "Automation of public services" has been added.

In the direction of "Consideration of complaints and applications" new criterion is included: consideration of repeated substantiated complaints and applications; internal control over the quality of consideration of complaints and applications.

### 2.3 Analysis of international experience

For the study, we selected foreign countries based on their positive experience in applying modern approaches in the methodology for assessing the activities of state bodies. It should be noted that the Canadian Management Accountability Framework (hereinafter MAF) was used in the development of the Assessment in Kazakhstan<sup>35</sup>. In addition to MAF, in many European countries, the Common Assessment Framework (hereinafter - CAF) is widely used - a general quality management tool developed for the public sector based on the excellence model of the European Foundation for Quality

<sup>35</sup> MAF 2018 to 2019 service management methodology // URL: <https://www.canada.ca/en/treasury-board-secretariat/services/management-accountability-framework/maf-methodologies/maf-2018-2019-service-management-methodology.html>

Management (EFQM / European Foundation for Quality Management). So, in 2019, the CAF2020 model was adopted, in which the emphasis is on digitalization, sustainable development, innovation, interaction, cooperation (participation) and diversity.

On the introduction of integrated public services, we studied the experience of New Zealand, which carried out the “Result10” reform in 2012 to address cross-cutting problems through the interaction of several state bodies. In terms of innovation in the public sector, one of the leaders of e-government is South Korea, which took 2nd place in the UN e-government ranking in 2020. In the context of COVID-19, thanks to the implemented government measures, people were able to easily access any public services through websites and other electronic applications.

To assess the effectiveness of law enforcement agencies in interacting with citizens, there are a number of indicators that are successfully used in the United States, Great Britain and Singapore. Whereas in Kazakhstan, not all of their departments are included in the assessment of the effectiveness of the activities of law enforcement agencies, for which new approaches are needed in determining the performance criteria based on the specifics of their activities.

*Management Accountability Framework (MAF)* is a key oversight tool used by the Treasury Secretariat of Canada to ensure effective governance, accountability of federal departments and agencies, and allocation of resources to achieve results. Each year, the Secretariat of the Treasury of Canada assesses the performance of the 10 MAF elements, distributes points, and also identifies priority management improvement sectors that will be gradually developed by the organization over the next 12 months. All information, including the assessment methodology, assessment and its results for each area, is available on the MAF website.

To assess MAF, the analysis of reporting and the results of a survey of civil servants is used, the survey is conducted every three years on condition of anonymity, using a combined method of collecting information. In particular, the respondent is offered the choice of an online questionnaire or the ability to fill out a questionnaire on paper and send it by mail. This makes it possible to obtain data on the level of employee involvement in all state bodies, as well as to identify problematic aspects of interaction between management and executors.

In the MAF methodology, out of 7 management areas, 4 are core and 3 are specific areas. Thus, "Service Management" refers to a specific direction. The 2018-2019 report included four key areas of assessment: service management, service standards, online services, and customer satisfaction.<sup>36</sup>

The introduction of new indicators is aimed at assessing the progress of the e-government maturity model, its performance, increasing the emphasis on the use of composite indicators, for providing reliable data sources.

*The European Commission* has developed indicators and criteria for assessing the maturity of e-government. In 2016, 34 EU countries, including Switzerland, Sweden,

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<sup>36</sup> MAF 2018 to 2019 service management methodology // URL: <https://www.canada.ca/en/treasury-board-secretariat/services/management-accountability-framework/maf-methodologies/maf-2018-2019-service-management-methodology.html>



the Netherlands, Austria, France, Bulgaria, Latvia and others, were assessed using this method.

The basic indicators include: User Centricity, Transparency, Cross Border Mobility, and Key enablers<sup>37</sup>.

Each principle includes indicators for assessing the maturity of e-government, which are shown in Table 2.4.

Table 2.4 - Assessment of the maturity of e-government

Indicator	Criteria
User Centricity	Online service availability Convenience of receiving the service Information about public services Obstacles to obtaining public services Mobile friendliness (feedback)
Transparency	Transparency of the service provision procedure Personal consultations with representatives of state bodies
Cross Border Mobility	Availability of cross-border services Ease of use of services in cross-border areas
Key enablers	Electronic unique identification (eID) Electronic documents (eDocuments) Single Sign On Principle (Single Sign On) Information Security (eSafe)
Note: table compiled by the authors based on eGovernment Benchmark 2017 of European Commission	

The EU experience is interesting in that when assessing the level of customer orientation, the “mystery shopper” method is used, which makes it possible to anonymously assess the quality of public service provision. Here, the convenience of obtaining a service presupposes the availability of the location of service centers for citizens. In addition, the indicator "cross-border mobility" aims to increase the availability of services at any time and from any place (any device), both for citizens and for businesses. This is an important incentive for investment attractiveness and business development.

The advantage of this model lies in the prospects for the development of the Digital Government. Such developed countries as Singapore, Korea have made progress in the implementation of e-Government and are working on the implementation of the concept of Smart and Intelligent Government.

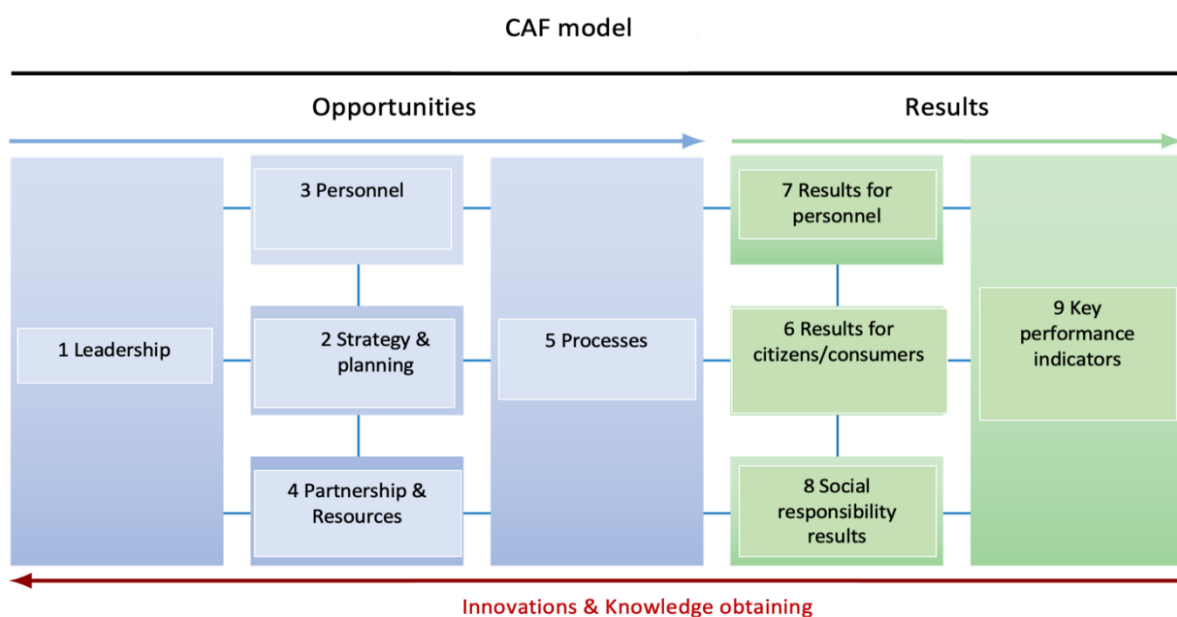
*Common Assessment Framework (hereinafter - CAF)*. The European Common Assessment System is a common quality management tool developed for the public

<sup>37</sup> eGovernment Benchmark 2017 of European Commission // European Union, 2017 // URL: <https://vrm.lrv.lt/uploads/vrm/documents/files/eGovernmentBenchmark2017BackgroundReport%20Tyrimas-Rezultatai.pdf>

sector based on the European Foundation for Quality Management (EFQM) excellence model. (Figure 2.2)

As you can see from the figure, the CAF model includes 9 main criteria and 27 evaluation sub-criteria:

1. Leadership;
2. Personnel;
3. Strategy and planning;
4. Partnership and resources;
5. Processes;
6. Results for citizens/consumers;
7. Results for personnel;
8. Social responsibility results;
9. Key performance indicators.



Source: <http://efqm-rus.ru/model-efqm/criterion/>

Figure 2.2 - Model of the "Common Assessment Framework"

CAF is a generic model that can be tailored to the specific requirements of model users. In the CAF model, an organization's performance survey is carried out on the basis of a self-assessment of state bodies.

The CAF model has established itself in Europe as a simple and effective tool for assessing, analyzing and improving the efficiency of the entire state apparatus, which is confirmed by the experience of more than 2,000 organizations in the field of public and local government. A survey of public sector organizations using the CAF model shows that 90% of them improve their performance based on self-assessment.

In 2019, the CAF 2020 model was adopted, which is developed by the European Network of Correspondents CAF and the European Institute of Public Administration (EIPA). The new model retains the basic structure of the CAF. The new model focuses

on digitalization, sustainable development, innovation, collaboration, collaboration (participation) and diversity.

Criterion 6 describes the results an organization achieves in terms of the satisfaction of its citizens / customers with the products or services it provides. Criterion 6 includes 2 sub-items: perception assessment and performance assessment.

The assessment of perception is carried out by means of a sociological survey of citizens according to two indicators: the general perception of the organization and the perception of products and services.

*1) The overall perception of the organization includes the following questions:*

- the overall image and reputation of the organization;
- organization availability;
- customer focus of staff;
- citizen / client involvement and participation, including electronic participation;
- transparency, openness and information provision.

*2) Perceptions of products and services include:*

- availability of physical and digital services;
- quality of products and services;
- differentiation of service provision, taking into account the needs of the client;
- the organization's ability to innovate;
- flexibility of the organization;
- digitalization in the organization;
- transparency and general trust of citizens / clients.<sup>38</sup>

The CAF 2020 model aims to ensure that the organization achieves sustainable development by consistently meeting the needs of citizens / customers and the expectations of its stakeholders on a long-term basis.

*South Korea.* A UN study measures e-government in the delivery of public services. According to the 2020 UN e-government ranking, South Korea is ranked 2nd.

Innovation in the public sector through citizen engagement is a priority for the government of the country. E-government has contributed to public sector reform by digitizing administrative work and simplifying procedures for clients. In the COVID-19 environment, people could easily access any government service through websites and other electronic applications.

All relevant information on coronavirus is presented on the websites of central and regional state bodies, which is accessible through the Kakao Talk mobile instant messaging application for smartphones.

South Korea has developed a national e-government mechanism to provide customer-focused information and services. Electronic government has introduced the following electronic network relationships:

- Government-to-government (G2G) exchange information between governments and agencies on policy and e-government projects;
- Government-to-business (G2B) provides better public services for industry and companies. For example, there is a “single window e-procurement system”

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<sup>38</sup> Common Assessment Framework 2020 // URL: <https://www.eupan.eu/caf/>

(<http://www.g2b.go.kr>) for transparent and convenient procurement and procurement service with a single sign-on;

– Government for Citizens (G2C) provides services requested from citizens on how to change the role and scope of government.<sup>39</sup>

The e-government initiative is governed by the following organizational hierarchy:

The Committee for the Promotion of Informatization, the Committee for Government Reform and the Cabinet of Ministers, which report directly to the President.

The technical and project support group is subordinate to the Government Reform Committee.

The Government Reform Committee plays the role of a monitoring and evaluation team, managing other departments, local governments and state bodies.

The Informatization Assistance Committee, reporting directly to the President, is responsible for monitoring the impact of each unit, including the Government Reform Committee.

Indicators for measuring and monitoring the impact of e-government initiatives depending on the type of goals are:

1) The goals of the civil service are to increase the processing of online work, support the competitiveness of business, the number of visits to district offices, the level of use of e-government.

2) The goals of administrative democracy are the level of electronic participation (through public opinion polls), openness of administrative information, protection of confidentiality.

3) *Objectives of administrative effectiveness* - digitized documents.

The country's government supports and realizes the values and principles of open government through transparency, empowering citizens, fighting corruption, and harnessing the power of new technologies for effective governance.

Since 2013, South Korea has been implementing a smart government strategy - e-government 4.0. Currently, the main focus is considered to be the provision of integrated services based on mobile applications and individual approach, as well as the provision of online services based on big data analysis.<sup>40</sup>

Since 2018, the government has been implementing the 6th Basic Plan for the Promotion of Informatization and a Comprehensive Plan for an Innovative Government, which prescribes:

1) *Service-oriented government personalization*:

Integration of interdepartmental services in order to create a one-stop service window for each citizen by providing individual services via mobile phones.

2) *Civil government*:

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<sup>39</sup> Building world-beating e-government in South Korea // URL: <https://www.centreforpublicimpact.org/case-study/building-a-world-leading-e-government/#nav-1>

<sup>40</sup>Seunghwan Myeong. E-government to Smart E-governance: Korean Experience and Challenges /// URL: [http://springer.iq-technikum.de/referenceworkentry/10.1007/978-3-319-31816-5\\_3814-1](http://springer.iq-technikum.de/referenceworkentry/10.1007/978-3-319-31816-5_3814-1)

Encouraging electronic citizen participation in all political processes and facilitating co-governance, thereby establishing partnerships with citizens.

3) *Smart government:*

Transforming administrative systems from service-oriented to user-centered, mass knowledge sharing through cloud computing, advocating fact-based decision making for analyzing user data.<sup>41</sup>

Regarding innovation in public service delivery, interest is the New Zealand experience, which has focused on the provision of integrated services using digital technologies.

*New Zealand* ranked 9th in the COVID-19 Safety Ranking with a total score of 715, including quarantine efficiency - 153 points, government risk management efficiency - 156 points, monitoring and diagnostics - 128 points, healthcare readiness - 75 points, regional resilience - 94 points and preparedness for emergency situations - 108 points<sup>42</sup>.

In 2012, the New Zealand government launched a new approach to inter-agency collaboration: Top Ten Public Service Outcomes to provide better public services to citizens. She reformed to address cross-cutting issues that spanned the responsibilities of multiple agencies.

Result 10 reform became a government priority as 10 agencies began working to develop unified, integrated products and services using digital technologies. This means that the customer can access the services whenever they want and be confident that their personal data is safe in the online environment. These agencies are customer-centric and come together where it makes sense to deliver the service the customer expects and find innovative ways to reuse and share information within this system-wide, whole-of-government approach.<sup>43</sup>

The activities of the involved Result 10 agencies are led by the working group on innovation in the service sector, an interdepartmental group of deputy heads of the following agencies:

- Accident Compensation Corporation
- Internal affairs department
- Tax office
- Ministry of Education
- Ministry of Health
- Ministry of Justice
- Ministry of Social Development
- New Zealand Police
- Statistics New Zealand

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<sup>41</sup>Hoa Thai, Hyesu Im and Younhee Kim. Pathways to Electronic Citizen Participation: Policy and Technological Arrangements in Korea. 27 May 2019 // URL: [https://link.springer.com/content/pdf/10.1007%2F978-3-319-31816-5\\_3799-1.pdf](https://link.springer.com/content/pdf/10.1007%2F978-3-319-31816-5_3799-1.pdf)

<sup>42</sup> COVID-19 Safety Assessment Global Rating // URL: <https://www.dkv.global/conid-19/global-rating>

<sup>43</sup>Rodney Scott, Ross Boyd. The New Zealand Better Public Service Results: a comparative analysis linking inter-agency collaboration with outcome performance // URL: [https://www.researchgate.net/publication/285579900\\_The\\_New\\_Zealand\\_Better\\_Public\\_Services\\_Results\\_a\\_comparative\\_analysis\\_linking\\_inter-agency\\_collaboration\\_with\\_outcome\\_performance](https://www.researchgate.net/publication/285579900_The_New_Zealand_Better_Public_Services_Results_a_comparative_analysis_linking_inter-agency_collaboration_with_outcome_performance)

- Transport Agency of New Zealand.

The Service Innovation Working Group is integral to delivering the results of the government's ICT strategy.

With the help of the working group, an ecosystem is being created that allows innovation in public services to flourish so that New Zealanders can seize new opportunities.

The “Result 10” program includes five main areas of activity:

1) *Integrated services* - provision of joint public services (agencies, NGOs, private sector) where it makes sense.

2) *Digital transactions* - maintaining the momentum for the transition to digital channels, and supporting the initiators of life events.

3) *Proactive delivery* - providing customers with the “seamless” services to which they are entitled, without the need for them.

4) *Information exchange* - inclusion of information exchange based on the consent of the Customer.

5) *Digital identity* - Support for online identification and customer verification.<sup>44</sup>

In addition to the five priority areas, the “Result 10” program includes a set of foundational work areas that will support priority areas through the implementation of policies, standards and research to create an environment for service innovation.

As part of the “Result 10” program, it is planned that by 2021 80% of transactions for the twenty most common government services will be completed digitally.

The achievement of this goal is assessed according to the following criteria:

- measuring ease of access to public services by reducing the number of steps a client must take to obtain them;
- customer experience, and feedback through interaction with user groups or a survey.

The first of these life events initiatives is the launch of Smart Start, an online tool for young and prospective parents to get the information and support they need from the government for the birth of their child.

There are a number of indicators to assess the effectiveness of law enforcement agencies in interacting with citizens. Police activity is assessed not by the parameters of criminal statistics, but by the level of public opinion about police activity and the level of victimization - the so-called integral indicator of the degree of satisfaction. Thus, in the United States, as in many other foreign countries, the effectiveness of the police is determined not by the statistics of crimes and arrests, but by the quality of service to the population.

*In Great Britain* three levels of assessments are used to assess the performance of the police: the level of strategic goals, the level of intermediate goals, and the level of activity.

At the level of strategic goals, a single indicator is used - the level of public satisfaction with police activities, which is formed on the basis of a sociological survey.

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<sup>44</sup> Delivering better public services.BPS-Result-10-Action-Plan-August-2017 // URL: [https://www.dia.govt.nz/diawebsite.nsf/Files/BPS-Result-10-Action-Plan- August-2017 / \\$ file / BPS-Result-10-Action-Plan-August-2017.pdf](https://www.dia.govt.nz/diawebsite.nsf/Files/BPS-Result-10-Action-Plan- August-2017 / $ file / BPS-Result-10-Action-Plan-August-2017.pdf)

At the level of intermediate goals, there are 10 indicators, divided into 3 groups, formed from police reports and opinion polls:

a) group "crime reduction" - the number of thefts; the number of robberies; the number of thefts;

b) group "crime investigation" - the number of detected crimes; the number of cases sent to court; the number of detected crimes related to illegal drug trafficking;

c) the group "ensuring public safety" - the number of citizens concerned about thefts; the number of citizens concerned about road crimes; number of citizens concerned about violent crime; the number of citizens concerned about public order violations.

At the activity level, two indicators are used to reflect the number of days lost to illness by officers and police officers.

*In Singapore* the system for assessing the effectiveness of the police activity consists of indicators characterizing the effectiveness of the work of an individual police officer: the level of crime in the service area of an individual police officer, public relations for ensuring security; feedback from field activities; ability to work in a team; quality of submitted reports.

In general, the experience of various countries in the formation of assessment criteria for police activities has shown that they all have in common - the prevalence of sociological measurements as opposed to operating with the category of detection and the number of crimes.

## **2.4 Analysis of the practice of assessing the activities of state bodies**

The criteria for the block "Interaction of the state body with individuals and legal entities" are determined: the quality of the provision of public services, the openness of the state body, as well as consideration of complaints and appeals of individuals and legal entities, which include from 5 to 10 indicators.

The objects of the study are CSB and LEB and their activities in the provision of public services over a three-year period: from 2016 to 2018, the year 2019 was not taken due to the impossibility of comparing the criteria in the new (2020) and old (2017) assessment methods (Table 2.5).

As shown by the analysis of the data in Table 2.5, in particular, according to the criterion "Quality of the provision of public services", the total number of services provided by the CSB tends to grow, while the services provided by the LEB show relative invariability. A negative phenomenon was the increase in the total number of violations in terms of the provision of public services and substantiated complaints about the quality of the provision of public services by local executive bodies. A slight decrease is observed for unjustified refusals in the provision of public services and disruption of business processes in the provision of public services, both by the LEB and CSB.

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Table 2.5- The results of the assessment for the block "Interaction of the state body with citizens"

The quality of the provision of public services	2016		2017		2018	
	CSB	LEB	CSB	LEB	CSB	LEB
01. The total number of public services provided	60,7 mln	83,0 mln	80,9 mln	73,5 mln	73,6 mln	79,0 mln
02. The total number of violations of the timing of the provision of public services	8 thous.	2,6 thous.	2,8 thous.	3,4 thous.	1,5 thous.	3,4 thous.
03. The level of satisfaction with the quality of the provision of public services	73%	73%	66%	67,5%	69,8%	69,8%
04. Number of automated services	414	-	190	-	506	-
05. Number of optimized services	120	-	101	-	196	-
06. Unreasonable refusals to provide public services	-	-	111	154	140	151
07. Provision of public services with an incomplete package of documents	-	-	2,1 thous.	20,9 thous.	0,4 thous.	6,9 thous.
08. Requesting unnecessary documents when providing public services	-	-	5,9 thous.	39,1 thous.	4,4 thous.	11,7 thous.
09. Violation of business processes for the provision of public services	-	-	2,6 thous.	16,8 thous.	3,3 thous.	15,1 thous.
10. Reasonable complaints about the quality of the provision of public services	-	-	92	58	106	156
<b>Open government</b>	<b>CSB</b>	<b>LEB</b>	<b>CSB</b>	<b>LEB</b>	<b>CSB</b>	<b>LEB</b>
01. Sets of open data to be published	665	1236	928	1212	1086	1557
02. Number of published open data sets	493	787	882	906	1076	1420
03. Number of published projects of budget programs	-	-	-	-	229	3315
04. Number of published projects of regulatory legal acts	-	-	-	-	3833	11965
05. The share of timely responses to requests and questions from users, %	-	-	-	-	98,51 %	92,58 %
06. The level of compliance of the Internet resources of state bodies with the established requirements	83%	83%	82%	82%	-	-



<b>Quality of consideration of complaints and appeals of individuals and legal entities</b>	<b>CSB</b>	<b>LEB</b>	<b>CSB</b>	<b>LEB</b>	<b>CSB</b>	<b>LEB</b>
01. The total number of reviewed complaints and appeals	501,3 thous.	819,7 thous.	815,5 thous.	861,6 thous.	844,2 thous.	776,3 thous.
02. The total number of violations of the terms of consideration of complaints and appeals	3 771	2 554	1 463	904	931	1388
03. The number of appeals satisfied by a court decision	-	-	14	85	27	50
04. The number of appeals satisfied by the higher authorities	-	-	61	49		
05. Number of repeated well-grounded complaints and statements	213	117	841	301	360	318
Note: <i>Source:</i> Reports on the assessment of the effectiveness of state bodies for 2016,2017,2018 / LLP "Center for research, analysis and efficiency Evaluation"						
Note: compiled by the authors						

The results of the analysis according to the criterion "Openness of the state body" shows that the number of published sets of open data, although it tends to grow, but at the same time, as our data collection practice has shown, they do not fully contain the necessary information. There are no indicators of the number of published projects of budget programs for 2 years out of 3 checked, the number of published draft regulatory legal acts, the share of timely responses to requests and questions from users, and there is no data for the last year regarding the level of compliance of the Internet resources of state bodies with the established requirements.

For example, the analysis of the Internet portal "Evaluation of effectiveness" showed that the information in the section "Evaluation results" is irrelevant and not presented in full. Historical data and full version of reports are missing. So, the latest infographic is for 2018.

Analysis of the data "Key indicators" showed that the reports of many state bodies are not updated. For example, the MIA- published an empty file in the "Reports" section, the MHSD - reports for 2014-2018, the MFA- a report for 2015, the MHSD, ACSA - there are no reports.

The analysis of infographics on received and answered requests showed the following results.<sup>45</sup>

*1) Regarding the central state bodies.*

The largest number of received and answered applications falls on the MLSP (58,336, of which 3473 were unanswered), the MIA (56244, of which 232 were not answered), the MF (45183, of which 3263 were not answered) and the MES (36870, of which 7847 were not answered).

An analysis of user satisfaction with the responses of the same state bodies showed the following results:

- in the MLSP, the number of voters was 2,253, of which 790 or 35.0% were unsatisfied users;

<sup>45</sup>Internet-portal «Open dialog» // URL: <https://dialog.egov.kz/>

- in the MIA, the number of voters was 1,049, of which 303 or 28.8% were unsatisfied users;

- in the MF, the number of voters was 1666, of which 534 or 32.0% were unsatisfied users;

- according to the MES, the number of voters was 1085, of which 272 or 25.0% were unsatisfied users.

## *2) Regarding the local executive bodies.*

The largest number of received and answered applications falls on the city of Almaty (6689, of which 1556 were unanswered), WKO (2068, of which 128 were not answered), the city of Nur-Sultan (1808, of which 168 were not answered) and Karagandinskaya oblast (1648, of which 71 were not answered).

An analysis of user satisfaction with the responses of the same state bodies the following results:

- in Almaty c., the number of voters was 612, of which 302 or 49.3% were unsatisfied users;

- in the WKO the number of voters was 92, of which 26 or 28.2% were unsatisfied users;

- in Nur-Sultan c., the number of voters was 199, of which 104 or 52.2% were unsatisfied users;

- in the Karagandinskaya oblast, the number of voters was 85, of which unsatisfied users - 28 or 29.4%.

In general, the percentage of unsatisfied citizens who appealed to state bodies is quite high and ranges from 25% to 52.2%.

In accordance with the Methodology for the operational assessment of the activities of a state body with individuals and legal entities (hereinafter referred to as the Methodology), the criterion "Open dialogue" includes 5 indicators, the overall assessment is 25 points. Here attention should be paid to the fact that the indicator "The share of questions that received answers on the official blog platform of heads of state bodies" is 5 points. At the same time, there are no penalties for the share of unanswered calls and unsatisfied appeals.

By the direction "Quality of consideration of complaints and appeals of individuals and legal entities", in particular, the total number of reviewed complaints and appeals has a significant tendency to increase with the growth of repeated substantiated complaints and appeals. And data on the number of appeals satisfied by the court decision and appeals satisfied by the higher authorities are absent for individual years.

Thus, the analysis of the practice of applying the current approaches and methods for assessing the effectiveness of the activities of state bodies showed:

firstly, the indicators used do not fully stimulate the CSB and LEB to strictly implement them in order to reduce the negative tendency of their influence on the final criteria of their work;

secondly, the lack of information on indicators does not in any way affect the effective assessment of the state body, otherwise it cannot be explained, for example, after several years, the data on their websites remains;

thirdly, one of the very important indicators such as the number of repeated well-grounded complaints and appeals, appeals satisfied by a court decision, as well as the number of appeals satisfied by higher authorities with an upward trend, give reason to believe that they are not sufficiently taken into account in the weight category of the criterion "The quality of consideration of complaints and appeals of individuals and legal entities" and ultimately in the assessment "Interaction of the state body with citizens."

In general, it can be noted that the weaknesses in assessing the effectiveness of the CSB and LEB are: insufficient focus on results; insufficient institutionalization; lack of publication of individual assessment results in the mass media and the service provider's Internet resource.

In order to analyze the practice of applying the current approaches and methods for assessing the effectiveness of the activities of state bodies in the block "Interaction of state bodies with citizens", we carried out a preliminary targeted collection of information from civil servants of the Committee on legal statistics of the General Prosecutor's Office, the MNE and the Akimat of Almaty c. in order to obtain information from civil servants. (performing functions to determine the assessment of the effectiveness of the state bodies - 5 people).

5 questions were formulated that helped to identify both the positive results of the performance assessment and the negative factors.

*Question 1.* How did the COVID-19 pandemic affect the assessment of the effectiveness of the activities of the state body in the block "Interaction of state bodies with citizens"? Rate on a scale from 0 to 3, where 0 - did not influence, 1 - slightly influenced, 2 – influenced quite much, 3 - strongly influenced.

*Answer:* 0 - no effect. For 2019, the assessment was carried out in the first decade of April 2020, and quarantine in Kazakhstan was introduced in the third decade of 2020. By this time, all organizational measures aimed at high-quality assessment, including cross-checking activities, have been carried out.

The COVID-19 pandemic may affect the operational assessment of the interaction of the state body with individuals and legal entities for 2020, since at the beginning of the pandemic, state bodies violated the deadlines for considering appeals due to the absence of employees due to disability (being on sick leave).

*Question 2.* Point out the reasons that most negatively affect the assessment of the effectiveness of the state body in the block "Interaction of state bodies with citizens"?

- terms of performance (date, duration, etc.)
- the number of criteria and indicators (a large number of them, inappropriate)
- complex calculation technique (collection and processing of initial data, etc.)
- formalism of the Assessment methodology (elimination of "levelling" (incentives and punishment), practical application of the results to improve the performance of state bodies).

*Answer.* Complicated calculation methodology. The current methodology does not allow to fully assess the level of satisfaction of the population with the quality of services provided in the country as a whole and to determine the effectiveness of the

state body's activities to provide individuals with high-quality and timely satisfaction of complaints and applications of citizens.

*Question 3.* What would you like to change in the Assessment methodology for the block "Interaction of state bodies with citizens"?

- in terms of execution
- in the number of criteria and indicators
- in simplifying the calculation methodology
- in elimination of formalism in the assessment

*Answer.* In this case, civil servants noted that the assessment for 2019 was carried out this year using the old 2017 methodology. It was noted on it that they would like to make changes in terms of its simplification. The assessment for 2020 will be carried out in 2021 according to the new Methodology, which is significantly simplified. The quality of its application in practice can be analysed no earlier than 2022.

*Question 4.* Do You think that in the new Methodology the criteria and indicators are objective and as accurately as possible assess the activities of state bodies in the block "Interaction of state bodies with citizens"? Rate on a point scale from 0 to 3, where 0 is biased, 1 point is objective, but insignificantly, 2 is more objective than biased, and 3 is objective.

*Answer.* They are more objective than biased. The assessment criteria are very dynamic, changes have been made to the methodology taking into account the automation of public services, optimization of business processes for the provision of public services, and the introduction of proactive public services.

However, with regard to practice, the following is noted. As part of the assessment in the direction of "the quality of the provision of public services" for 2018, the state service "Apostille of official documents emanating from the prosecutor's office, investigation and inquiry bodies" provided by the Committee on legal statistics and special accounts of the General Prosecutor's Office was subjected to a "social survey". The survey showed that mostly citizens have negative comments about the employees of the State corporation "Government for Citizens", through which the state service and the work of the Call center are provided. In particular, citizens are not entirely satisfied with the availability, openness, clarity and reliability of the information received on the public service, the presence of long queues, which increases the waiting time.

*Question 5.* Do You consider it appropriate to include in the Methodology a criterion characterizing the reduction in the labor intensity and cost of the assessment process in the block "Interaction of state bodies with citizens" through the indicator of automation of the assessment process through digital platforms? Answers: inappropriate, appropriate and difficult to answer.

*Answer.* Appropriate. Digital platforms provide a reduction in labor intensity in the provision of public services, but also have an impact on increasing the transparency of the processes of activity of public authorities and local governments, public sector organizations. However, a big minus is the provision by state bodies of inaccurate reporting information and quality information for the state bodies authorized for assessment.

In general, preliminary results have shown that the practice of conducting an annual assessment of the activities of state bodies has its positive results. It actively supports the reform to increase the transparency of state bodies, the availability and quality of government services, eliminate corruption risks and increase citizens' confidence in state bodies.

However, the reliability of the results of assessing the effectiveness of the activities of state bodies depends on the reliability and quality of the reporting information that they provide to the authorized state bodies for the assessment. In this regard, it is proposed to create mobile applications for assessing the quality of public services, for filing complaints and appeals, and tracking the status of their processing. With the help of them, it is possible to assess the effectiveness of measures taken by a state body for the timely provision of public services.

Using the "Problem Tree" method, a real review of the problems of assessing the effectiveness of the activities of state bodies in the block "Interaction of state bodies with individuals and legal entities" was compiled by identifying the main causes and their most important consequences. It should be noted that the data from the Center for evaluating the effectiveness of state bodies ([www.bagalau.kz](http://www.bagalau.kz)) and the "ZOR-RUKH" Charitable Foundation were used as sources for constructing the "Problem Tree".

Thus, the results of a sociological survey on the quality of public services conducted by the ZOR-RUKH Charitable Foundation showed that most often service recipients complained about incomplete information on the service, the lack of step-by-step instructions, the complexity of collecting information, and the waiting time at the place of receiving public services.

As for the quality of work of employees, here the respondents most often complained about the low level of their professionalism and efficiency in the provision of services. In addition, the service recipients noted that indirect and additional costs arose during the collection of documents.<sup>46</sup>

As can be seen from Figure 2.3, we have identified the main problem "Poor client orientation of state bodies", based on the results of analysis, interactive discussion and exchange of views between members of the research group.

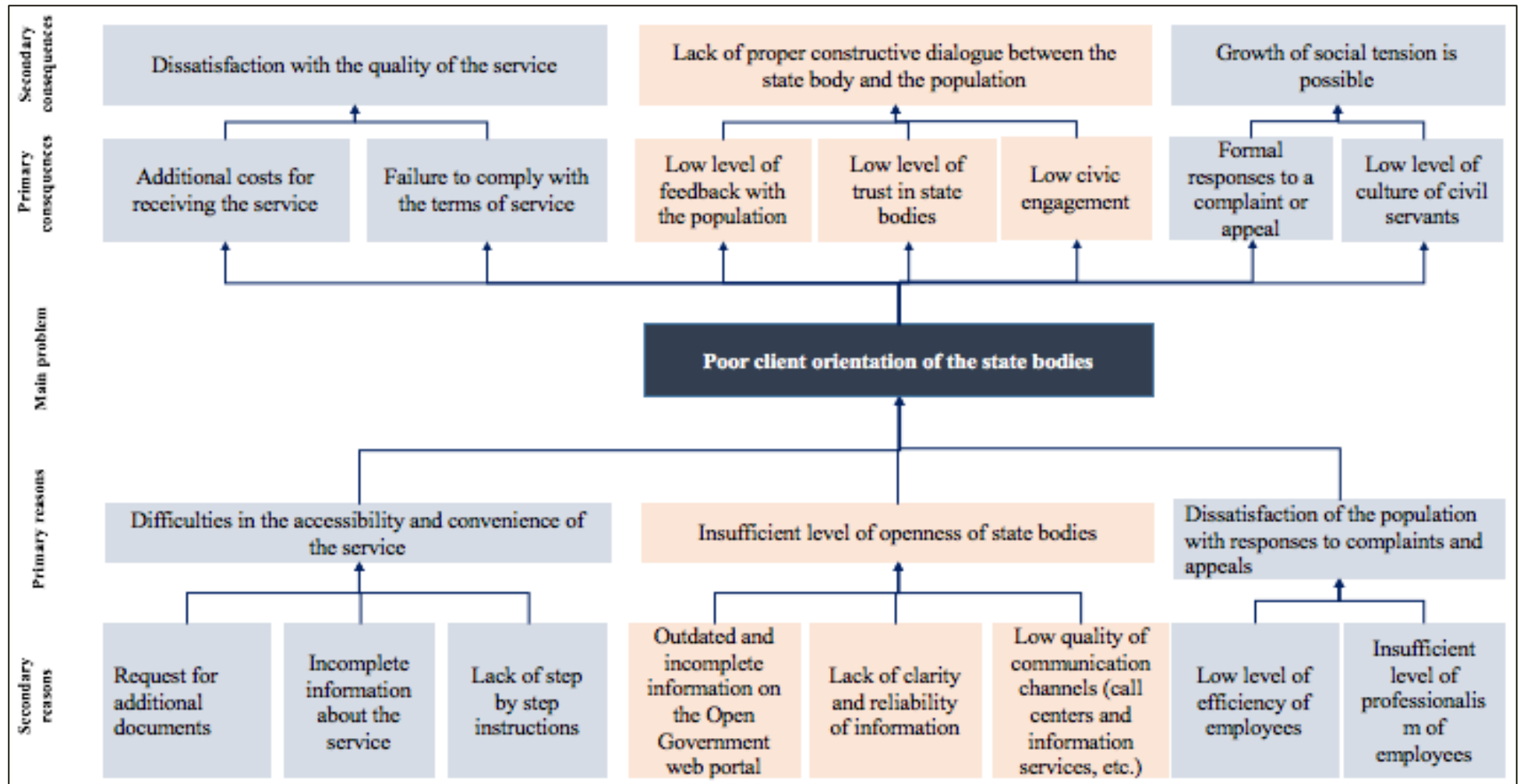
Among the reasons for the poor client orientation, we attributed the additional costs of obtaining services and failure to meet the terms of service, which ultimately resulted in dissatisfaction with the quality of the service.

Moreover, their consequence was the reclamation of additional documents, incomplete information about the service, the absence of step-by-step instructions, which led to the complexity of the accessibility and convenience of the service.

One of the central reasons for poor client orientation of state bodies were difficulties in establishing feedback with the population and the population's distrust of state bodies, as well as low civic engagement, which, together, led to the absence of an appropriate constructive dialogue between the state body and the population

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<sup>46</sup>Results of public monitoring of the quality of public services for 2019. - Private Foundation "ZOR-RUKH Charitable Foundation", 2019, p. 357.



Note: compiled by the authors

Figure 2.3 - Problem tree for the block "Interaction of state bodies with individuals and legal entities"

The consequence of this was an insufficient level of openness of state bodies in conditions of incomplete, unclear and reliable information with a low quality of communication channels.

A formal response to appeals and complaints, a low level of responsibility and culture of civil servants are causing the growth of social tension. Due to the low level of efficiency, quality of answers and insufficient level of professionalism, citizens are unsatisfied with the received responses to complaints and appeals.

Based on the results of public monitoring of the quality of the provision of public services for 2019, conducted by the “ZOR-RUKH” charitable foundation, as well as an analysis of the “Open Government” web portal and Reports for 2017-2019, primary and secondary causes were identified that negatively affect interaction of the state body with citizens.

Accordingly, these reasons give rise to negative consequences in the interaction of state bodies with individuals and legal entities. In subsequent studies, we will identify improved criteria and indicators that will qualitatively improve the operational assessment of the performance of state bodies.

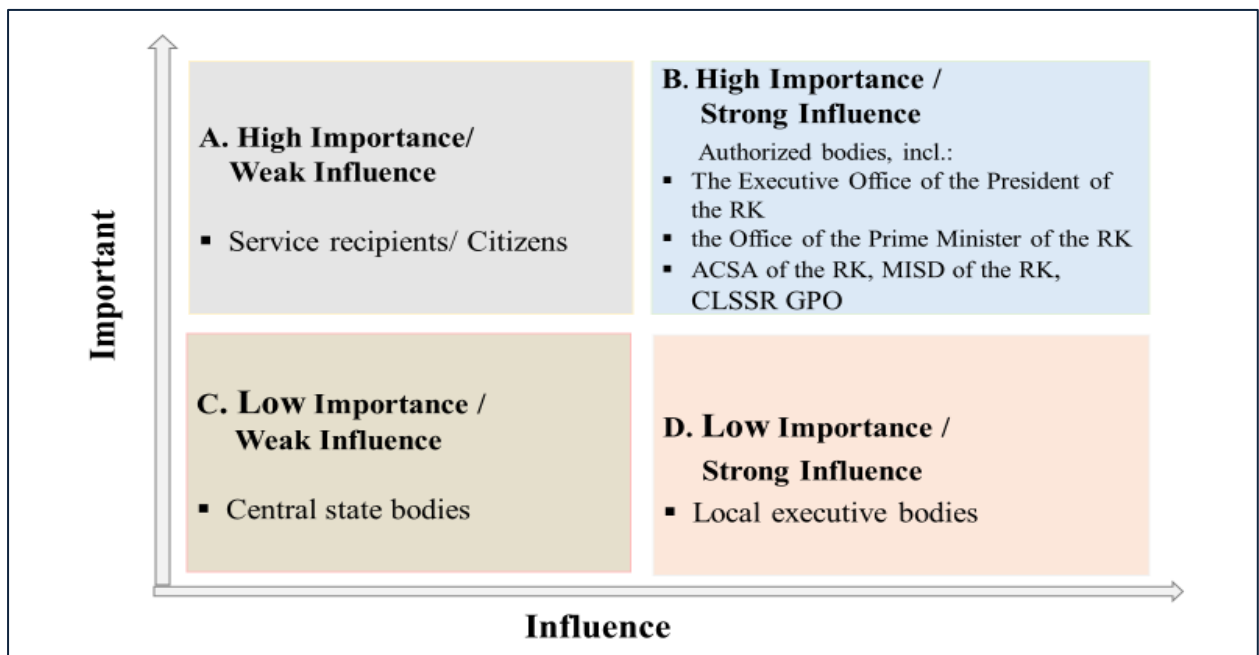
*Analysis of the current situation in providing the balance of powers - responsibility and resources.* According to the new Methodology, the main authorized bodies are: The Executive Office of the President of the RK, Government of the Republic of Kazakhstan, MISD, CLSSR GPO, ACSA, MDDIAI (Table 2.6)

Table 2.6 - The system of bodies authorized for assessment for the block "Interaction of the state body with individuals and legal entities"

<b>Credentials</b>	<b>Responsibility</b>	<b>Name of the state body</b>
General process management		The Executive office of the RK
Methodological support		The Executive office of the RK Authorized bodies for evaluation * Center for assessing the effectiveness of state bodies
Assessment of authorized bodies		Executive office of the RK Office of the Prime Minister of the Republic of Kazakhstan
Assessment of CSB and LEB	The quality of the provision of public services Provision of public services in electronic format and their automation Openness of state bodies	ACSA of the RK MDDIAI of the RK MISD of the RK;

	Quality of handling complaints and applications Methodological support of the development of the architecture of "electronic government" and the typical architecture of the "electronic Akimat"	CLSSR GPO Service integrator "Electronic government" - JSC "NIH" Zerde "
Source: Methodology for operational assessment of the activities of a state body. Note: compiled by the authors		

We used the Matrix Important / Influence method to determine the degree of influence and the level of interest of stakeholders in relevant issues or the possible goals of an operational assessment of the activities of a state body. It allows to understand the importance and influence of each stakeholder, thanks to this information it becomes possible to develop a specific approach and strategy for the identified stakeholders. (Figure 2.4)



Note: compiled by the authors

Figure 2.4 - Matrix Important / Influence for the block "Interaction of the state body with individuals and legal entities"

*A. High importance / Weak influence.* The operational assessment of state bodies in the block "Interaction of the state body with citizens" is aimed at the formation of an effective service state and the creation of a comfortable system of interaction between the state and the citizen within the framework of the implementation of the Plan of the Nation "100 steps". In this regard, in our opinion, service recipients / citizens represented by legal entities and individuals are of high



importance. However, they do not have the authority and necessary resources to directly participate in assessing the performance of state bodies. At the same time, their assessment, in the absence of an appropriate full-fledged accounting methodology, is indirectly taken into account when conducting a sociological survey or optional accounting of opinions through an electronic system. Therefore, their degree of influence on the operational assessment of the activities of the state body in this block is weak.

*B. High importance / Strong influence.* According to the Methodology, the bodies authorized for the assessment have determined:

- The Executive Office of the President of the Republic of Kazakhstan - operational assessment of the effectiveness of the General Prosecutor's Office of the Republic of Kazakhstan in the block "Interaction of the state body with individuals and legal entities", the Agency for Civil Service Affairs in the direction of "Quality of the provision of public services";

- by the Office of the Prime Minister of the Republic of Kazakhstan - operational assessment of the effectiveness of MDDIAI in the provision of public services in electronic format and their automation, operational assessment of the effectiveness of the MISD in the direction of "Openness of the state body";

- ACSA - operational assessment of the effectiveness of the CSB and LEB in the direction of "Quality of the provision of public services";

- MISD - operational assessment of the efficiency of the central state and local executive bodies in the direction of "Openness of the state body";

- CLSSR GPO - operational assessment of the effectiveness of the central state and local executive bodies in the direction "Quality of consideration of complaints and appeals".

These authorized bodies have a strong influence on the assessment of the activities of state bodies, since they directly conduct the assessment, have the powers and effective administrative resources, which determines their high degree of importance.

*C. Low importance / Weak influence.* CSBs are obliged to undergo an annual operational assessment of their activities in accordance with the Decree of the President of the Republic of Kazakhstan "On the System of annual evaluation of the performance of central state and local executive bodies of regions, a city of republican significance, the capital". Such CBD as MDDIAI and MISD carry out operational assessments in the areas of the block "Interaction of the state body with citizens", so they have a small degree of influence and importance. The rest of the CSBs are the objects of operational evaluation, the indicators obtained are of a low degree of importance and have little effect on the result of their activities. An example of this is the assessment results for 2018, which show that out of 20 CSBs that have passed the assessment, 2 have ineffective activity (up to 49.99 - ineffective activity), 6 - a low degree of efficiency (50 - 69.99 - a low degree of

effectiveness). This is 40.0%, which in total is close to half of the CSBs involved in the assessment<sup>47</sup>.

*D. Low importance / Strong influence.* LEBs are obliged to undergo an annual operational assessment of their activities in accordance with the Decree of the President of the Republic of Kazakhstan "On the System of annual evaluation of the performance of central state and local executive bodies of regions, of city of republican significance, of the capital". LEBs, similarly to CSBs, are objects of operational assessment.

An example of this is the results of the assessment for 2018, which show that out of 18 LEB that have passed the assessment, 3 have ineffective activities, 9 have a low degree of efficiency. This is 67.0%, which is more than 2/3 of the total number of LEB. The obtained indicators show the low responsibility of the LEB in the assessment.

However, their activities strongly influence the interaction of state bodies with citizens, since most of the state services, as well as complaints and appeals, are carried out through them. Therefore, in this matrix, we assigned the LEB to block D "Low level of importance and strong influence". This block presents certain risks if to not pay attention to the methodological support of the assessment in terms of the choice of criteria and indicators, as well as taking into account their share in the final assessment.

Analysis of the degree of importance and influence of stakeholders in the construction of the matrix revealed that service recipients are poorly involved in conducting an effective assessment of the activities of state bodies. In this regard, proposals should be considered for:

- accelerated transfer of services into electronic format using mobile applications that would automatically assess the quality of services provided;
- the specific weight of the assessed indicators in the rating of state bodies.

Regarding the CSB, changes should be made to the criteria for the operational assessment of the activities of the state body, based on the level of tasks to be solved, which should include their profile indicators.

Analysis of the degree of importance and influence of stakeholders in the construction of the matrix revealed that service recipients are poorly involved in conducting an effective assessment of the activities of state bodies. In this regard, the transfer of services to electronic format should be accelerated using mobile applications that would automatically assess the quality of services provided.

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<sup>47</sup>Report on evaluating the effectiveness of state bodies in 2018. - Center for evaluating the effectiveness of government agencies.

## 2.5 Analysis of criteria and indicators of the assessment methodology

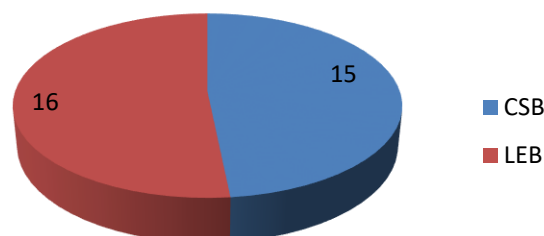
According to the Methodology<sup>48</sup> an operational assessment of the interaction of a state body with individuals and legal entities, assessment in the direction of "Quality of provision of public services" is carried out according to three criteria:

1) satisfaction of service recipients with the quality of the provision of public services;

2) ensuring the quality of the provision of public services;

3) automation of public services.

The study included conducting online interviews by the method of online and telephone questionnaires with experts (16 employees of central state bodies, 15 local executive bodies) with more than 15 years of experience in the public sector, including heads of structural divisions of state bodies. (Figure 2.5)



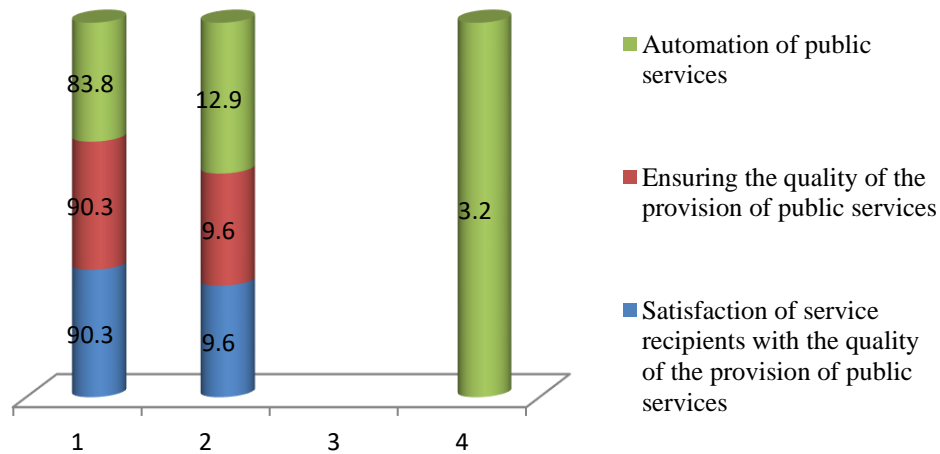
Note: compiled by the authors

Figure 2.5 - Distribution of experts by organization status

The distribution of experts according to the affiliation of their department to central state bodies (hereinafter CSB) and to local executive bodies (hereinafter LEB) showed a ratio close to equal. M

*Question 1. "Evaluate the importance of the criteria when assessing the effectiveness of state bodies in the direction of "Quality of public services 'within the Concept "Hearing State'"*

<sup>48</sup> Order of the Chairman of the Agency of the Republic of Kazakhstan for Civil Service Affairs dated March 5, 2020 No. 44, Deputy Chairman of the Committee on Legal Statistics and Special Accounting of the General Prosecutor's Office of the Republic of Kazakhstan No. 40 dated March 10, 2020, Minister of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan dated 10 March 2020 No. 87, and the Minister of Information and Social Development of the Republic of Kazakhstan dated March 11, 2020 No. 82 "On approval of the Methodology for the operational assessment of the interaction of a state body with individuals and legal entities.



1 - Very important, 2 - Quite important, 3 - Not very important, 4 - Not important at all

Note: compiled by the authors

Figure 2.6 - The degree of importance of the criteria for evaluating the effectiveness, in %

In the course of the interview, the experts were asked to assess the importance of the criteria in assessing the effectiveness of the activities of state bodies in the direction of "Quality of public services" within the framework of the Concept "Hearing State" (Figure 2.6).

In general, the respondents highly appreciated the importance of the evaluation criteria "Satisfaction of service recipients with the quality of the provision of public services" "Ensuring the quality of the provision of public services" and "Automation of public services" giving the first two 90.3% of votes, and the third 83.8%. 32.1% of experts considered these criteria to be quite important. 3.2% of respondents noted "Automation of public services" is not an important criterion.

According to experts, the satisfaction of service recipients is the most important criterion, since, in the end, they are consumers and their satisfaction reflects the quality of public services.

The opinion was also expressed that public services should be provided with high quality and on time. At the same time, for the convenience of requesting public services by the service recipient and their provision by the service provider, as well as eliminating corruption risks, public services should be provided in electronic format.

On the other hand, to reduce the burden on the service provider due to the large number of requests, it is necessary to automate the process of providing public services. Automation will also make it possible to eliminate the human factor in the provision of services and improve their quality.

The respondents emphasized the importance of these indicators for assessing the provision of public services. At the same time, the presence of a risk of data manipulation was noted, since this indicator is calculated by the survey method. It was proposed to make the survey open and transparent, or to transfer the survey to

one state body represented by the Prosecutor's Office, or the Agency for Civil Service Affairs.

Also, during the interviews, the experts noted the possibility of obtaining feedback from service recipients through public monitoring and appeals, which will identify both issues that require attention and positive aspects that can be scaled up. Within the framework of the criterion "Ensuring the quality of the provision of public services", one can see the volume of violations committed in the provision of public services in the context of state bodies, types of public services, types of violations. If the permissible values are exceeded, a deeper analysis should be carried out to identify the causes. The criterion "Automation of public services" allows to stimulate state bodies to transfer public services to electronic format.

In general, as some experts noted, state bodies should strive to provide all government services in electronic form, since this solves the issues of efficiency, mobility, transparency, convenience of obtaining government services and reducing corruption risks.

Results of the survey showed that ensuring the quality of the provision of public services is the main task of service providers, which should be focused on to increase the satisfaction with quality. When developing the methodology for assessing public services, many criteria were considered, which were constantly improved. There are no more important or less important things today. Each of these factors is important, their constant updating and digitalization of these directions is required. The above indicators ensure openness and transparency of the activities of state bodies.

Earlier we noted that the criterion "Satisfaction of service recipients with the quality of the provision of public services" is of key importance in the concept of "Hearing State", it is necessary to attach special importance to it when conducting an operational assessment of the activities of a state body. In addition, when building the problem tree, a weak client orientation of the state body was revealed.

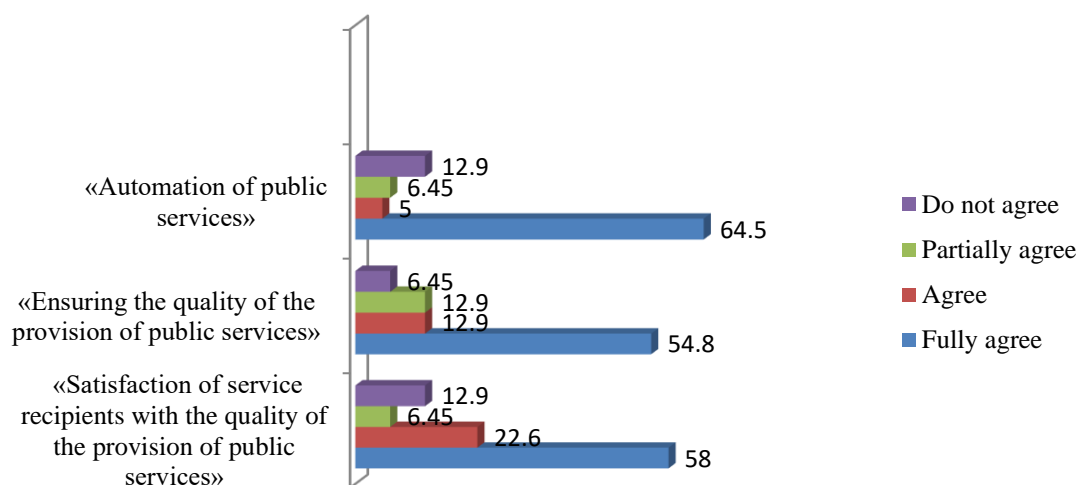
Based on the above, taking into account modern trends towards the transition to innovative models of public administration, in particular in the model of a "hearing state" and "smart" government - e-government 4.0, where the main priority will be the provision of complex services with individualization of the client, we believe that the criterion "Satisfaction of service recipients with the quality of the provision of public services" should be singled out into a separate area.

*Question 2. Evaluation of criteria in the direction of "Quality of the provision of public services."*

To determine the attitude of experts to the criteria for assessing the quality of public services, they were asked to evaluate these criteria on a four-level scale from "Fully agree" to "Disagree" (Figure 2.7).

According to the criterion "Satisfaction of service recipients with the quality of the provision of public services": it is important to additionally include an indicator for a personalized assessment of the quality of provision of public

services in electronic format, in addition to public monitoring", 58% of experts fully agree.



Note: compiled by the authors

Figure 2.7 - Evaluation of criteria in the direction "Quality of provision of public services", in %

According to experts' comments, public monitoring conducted in the current format has a number of process flaws:

- it is expensive;
- it is not transparent, so it is impossible to double-check the accuracy of filling out the questionnaires by respondents;
- there is a risk of leakage of personal data of service recipients to a third-party organization performing public monitoring.

It is proposed, at the time of receiving public services, to transfer public monitoring of the assessment of service recipients into an electronic format following the example of banks through a mobile application.

The proportion of dissenting respondents with the additional inclusion of the indicator on a personalized assessment of the quality of the provision of public services in electronic format, in addition to public monitoring, amounted to 12.9%.

In our opinion, the above indicator should be among the most important in assessing the level of quality of public services. It is determined by monitoring and selective checking of the quality component of the document itself, as a solution, and not a statement by the service provider of the task set by the applicant (service recipient).

According to the criterion "Ensuring the quality of the provision of public services" indicators: T2 - "Unreasonable refusals to provide public services"; T3 - "Provision of public services with an incomplete package of documents"; T4 - "Requesting documents not provided for by the standard of public services" does not reflect the quality of the provision of public services and should be converted

to indicators for calculating penalty points, and 54.8% of the respondents fully agree with this.

In the future, these indicators in the context of the transition to an electronic format of document management may lose their relevance, and therefore, during the transition period, they can be attributed to penalty indicators.

According to some experts, when the criterion "Ensuring the quality of the provision of public services" is translated into penalty points, the scope of violations will leave the field of vision, since the fines are limited to a five-point system. At the same time, "off-scale" violations signal the presence of systemic problems in the state body, in the region, by the type of public service or by the type of violations.

In response to concerns about the possibility of an increase in systemic problems in the state body and in the region due to the small amount of penalties, we explain that for each of the three indicators a 5-point scale will be awarded, giving a total of 15 penalty points.

Methodologically correct in assessing the quality assurance of the provision of public services may be such indicators as the availability of services, a reduction in the number of required documents from the service recipient, and the provision of "seamless" services.

According to the criterion "Automation of public services": 64.5% of respondents fully agree to include indicators assessing the level of implementation of integrated and proactive public services.

When assessing the level of implementation of integrated and proactive public services, it is important to understand the technological architecture of information systems, information security issues and personal data protection. We propose to add an additional indicator "Provision of proactive services" to the list of indicators of the criterion "Automation of public services".

The proportion of dissenting respondents with the inclusion of indicators, evaluating the level of implementation of integrated public services and proactive public services, amounted to 12.9%.

Experts note that it is necessary to determine in the process how it is possible to assess the level of automation. At the same time, today all work on the automation of public services is carried out at the central level.

The assessment of local executive bodies for this indicator is excluded, which, in our opinion, is illegal. Thus, LEBs can actively work on the introduction of automation of public services by consulting service recipients, increasing the literacy of the population on the use of automation tools and promoting the transfer of workflow to electronic format.

For what incentive does the indicator "Automation of public services in the reporting period" apply not only for the CSB, but also for the LEB. Generally, automation makes it possible to eliminate the human factor in the provision of services, improve their quality, and optimize business processes in state bodies, which reduces the burden on the service provider.

In addition, today proactive government services are already being used in accordance with the approved rules for their provision and the list, which will be expanded in the future.

*Question 3.* In your opinion, how much does each criterion in the direction of "Openness of a state body" affect the level of citizens' trust in state bodies?

Table 2.7 - The level of influence of the criterion in the direction of "Openness of the state body" on the level of citizens' confidence in state bodies

Criterion / Answer	Strongly affects	Affects to a large extent	Weakly affects	Does not affect
Open data	58%	19.3%	19.3%	3.2%
Open budget	67.7%	19.3%	9.6%	3.2%
Open normative legal acts	45.1%	22.6%	29%	3.2%
Open dialogue	61.2%	32.2%	6.45%	-
Openness of subordinate organizations	51.6%	25.8%	12.9%	6.45%
Note: compiled by the authors				

According to experts, the strongest influence is exerted by open budget (67.7%) and open dialogue (61.2%), open data (58%). Next in terms of influence are the openness of subordinate organizations (51.6%) and open regulations (45.1%). Distribution of answers in the Table 2.7.

Commenting on this issue, experts noted that the level of trust in state bodies is determined by the effective interaction of citizens in solving specific life situations, the absence of corruption, etc.

In practice, a survey on the use of information from "open normative legal acts", "open data" and "open budget" could determine the level of interest among residents.

It was also noted that the criterion "Open data" assesses the number of publications of open data sets according to the approved list. At the same time, this list, in accordance with the Law of the Republic of Kazakhstan "On Informatization" (Clause 15, Article 9), is approved by the state body itself in agreement with MDDIAI. Thus, the state agency itself decides which data it will disclose and which not, which does not completely solve the issue of data openness.

At the same time, the list of open data of many state bodies does not contain reporting data on the activities of state bodies. Without them, society cannot assess both the activities of state bodies and the decisions they make.

Among the experts' proposals, the need to approve a standard list of open data, acceptable for all state bodies and mandatory for each state body, on the basis of which the CSB and LEB will develop their own list, taking into account the specifics of their work. At the same time, the standard list should include



administrative data generated by state bodies in accordance with the Law “On State Statistics”.

According to our research (table 2.8) criteria and indicators in the direction of "openness of the state body" revealed that indicators "placement of draft concepts of draft laws"; "placement of draft regulations"; "correctness of filling out forms (completeness of fields, versioning, language layout" refer to the functional responsibilities of the state body (CSB and LEB).

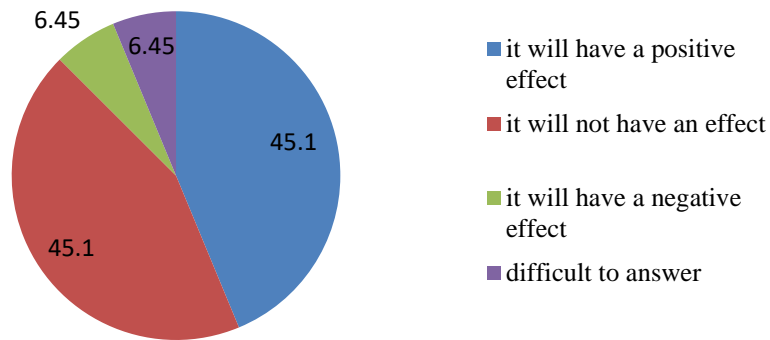
Table 2.8 - Improvement of indicators of the criterion "Open data"

No	Indicators	CSB		LEB		Conclusions	
		State language	Russian language	State language	Russian language	Suggestions	Justification
1	Placement of draft concepts of draft laws	1	1	-	-	Exclude	Is the functional responsibility of the state body
2	Placement of draft regulatory legal acts	3	3	4	4		
3	Correctness of filling out forms (completeness of fields, versioning, language layout)	2	2	2	2		
4	Monitoring and reviewing user suggestions and comments to draft normative legal acts and analysis results regulatory impact	5	5	5	5	Divide by 3 Indicators: 1) Monitoring and analysis of proposals (2 points); 2) Development of recommendations on the proposals received (3 points); 3) Submitting proposals to the draft regulatory legal acts (4 points);	1) When building the "Tree of problems" and the matrix "Importance / impact" it was determined that the client-orientedness of the state body should be a key link in the operational assessment of state bodies

						4) The share of users who are satisfied with the quality of the information received (1.5).	and clients / citizens are the main stakeholders 2) The sum of points accepted for distribution by indicators consists of indicators 1,2,3,4 and partially (0.5) of 5 indicators.
5	Publishing notifications about the placement of draft concepts bills and regulatory legal acts:	1.5	1.5	1.5	1.5	1.0	0.5 points redistributed in favor of 4 indicators
5.1	on official accounts in social networks and (or) mass media information	0.5	0.5	0.5	0.5	0.3	
5.2	on the Internet	0.5	0.5	0.5	0.5	0.5	
5.3	by sending newsletters	0.5	0.5	0.5	0.5	0.2	
Total		25		25		25	
Note: compiled by the authors							

*Question 4. In your opinion, how will the inclusion of an additional indicator “citizens' satisfaction with the quality of responses to complaints and statements on the official blog platform of heads of state bodies and organizations of the quasi-public sector” affect the decrease in the number of complaints and applications?*

In the course of the sociological survey, the opinion of the respondents was divided, some believe that it will have a positive effect (45.1%), others that it will not (45.1%). 6.45% believe that the impact will be negative, 6.45% of respondents found it difficult to answer. (Figure 2.8)



Note: compiled by the authors

Figure 2.8 - The degree of influence of the additional indicator on the reduction of the number of complaints and applications

According to experts, the additional indicator will not affect the reduction of complaints but will affect the quality of consideration of applications. Moreover, given that today the quality of consideration of applications is not monitored or evaluated, the introduction of this criterion is relevant.

To improve the efficiency of state bodies, their accountability requires feedback from the population through social networks. Appeals traditionally play an important role in the management process, since with their help communication with the population, control over the activities of the state and local government apparatus, as well as the implementation of the legal rights of the individual to appeal is carried out. Introduce an indicator of the effectiveness of work in social networks among the indicators for the operational assessment of state bodies.

*Determination of criteria and indicators for assessing the effectiveness of state bodies in the direction of "Quality of consideration of complaints and applications."*

The assessment is carried out according to the following criteria:

- 1) adherence to the terms of consideration of complaints and applications;
- 2) the proportion of complaints and applications recognized as justified by a court decision (satisfied by the court);
- 3) consideration of repeated substantiated complaints and applications;
- 4) internal control over the consideration of complaints and applications.

According to the criterion "Quality of consideration of complaints and applications", the formulas for calculating the following indicators, which are given below, have certain shortcomings.

1) *The criterion "Compliance with the terms of consideration of complaints and applications "*

$$R1 = \left(1 - \left(\frac{f}{p} * 1000\right)\right) * k$$

Where:

R1 is operational assessment of the CSB or LEB according to the criterion "Compliance with the terms of consideration of complaints and applications";

f is the number of complaints and applications considered by the assessed state body in violation of the established deadlines;

p is the total number of complaints and applications considered by the assessed state body;

k is the coefficient for reducing the results obtained to a weight value (for the CSB, the coefficient is 40, for the LEB - 40);

1,000 is the coefficient for determining the average value of time violations per 1,000 considered complaints and applications.

2) *The criterion "The share of complaints and applications recognized as justified by a court decision (satisfied by the court)"*

$$R2 = \left(1 - \left(\frac{a}{p} * 10000\right)\right) * k$$

Where:

R2 is operational assessment of the CSB or LEB according to this criterion;

a is the number of complaints and statements recognized as justified by a court decision;

p is the total number of complaints and applications considered by the state body;

k is the coefficient for reducing the results obtained to a weight value (for the CSO, the coefficient is 30, for the IOI - 30);

10000 is the coefficient for determining the average value of complaints and applications recognized as justified by a court decision (satisfied by the court) per 10,000 considered complaints and applications.

3) *Consideration of repeated substantiated complaints and applications*

$$R3 = \left(1 - \left(\frac{n}{m} * 100\right)\right) * k$$

Where:

R3 is operational assessment of the CSB or LEB according to this criterion;

n is the total number of repeated complaints and applications, satisfied as a result of consideration by a state body in the reporting period;

m is the total number of complaints and applications considered by the state body in the reporting period;

k is coefficient for reducing the results to a weight value (according to this criterion, the coefficient is 20);

100 is the coefficient for determining the average value of complaints and applications substantiated upon re-examination per 100 complaints and applications considered by the state body in the reporting period.

Calculations using an increase or a decrease in absolute values in a fraction showed that the formula does not take into account and level out the positive dynamics of a decrease in the total number of complaints and statements. (table 2.9)

Table 2.9 - Examples of calculations of the criterion "Quality of consideration of complaints and applications"

Criterion R1	Criterion R2	Criterion R3
"Compliance with the terms of consideration of complaints and applications"	"The share of complaints and applications recognized as justified by a court decision (satisfied by the court) "	Consideration of repeated substantiated complaints and applications
$-2360 = (1 - (\frac{3}{50} * 1000)) * 40$	$-17970 = (1 - (\frac{3}{50} * 10000)) * 30$	$-100 = (1 - (\frac{3}{50} * 100)) * 20$
$37,6 = (1 - (\frac{3}{50000} * 1000)) * 40$	$29,9 = (1 - (\frac{3}{50000} * 10000)) * 30$	$19,88 = (1 - (\frac{3}{50000} * 100)) * 20$
Note: compiled by the authors		

As can be seen from the calculations, with a smaller number of complaints and statements (50), the formula gives a negative result (-2360), and with a 1000-fold increase in complaints and statements, it gives a positive result. There is a certain paradox here. The negative dynamics of the growth of complaints and applications leads to a positive result of the components of the criterion "quality of consideration of complaints and applications", while the positive dynamics of the decrease in complaints and applications leads to a negative result.

In addition, based on the analysis of the assessment methodology, the introduction of an additional indicator "internal control over the consideration of complaints and applications" (R4) is considered unreasonable.

Firstly, due to the inconsistency of the imposition by the state body of measures for the obligatory disciplinary action of a civil servant in terms of consideration.

In practice, often the leader makes an insufficiently substantiated disciplinary sanction to an employee with aim to get the maximum score.

So, according to Appendix 13 to the Methodology, "if the share of the number of facts of prosecution" is from 90% to 100% of the total number of complaints and applications considered in violation of the terms, then the state body is assigned 10 points ";

- from 80% to 89.9% - 8 points;
- from 70% to 79.9% - 6 points;
- from 60% to 69.9% - 4 points;
- from 50% to 59.9% - 1 point;
- less than 49.9% - 0 points.

Secondly, the often unjustified bringing to disciplinary responsibility without revealing the objective reasons for the violation of the terms for considering complaints and applications demotivates a civil servant.

It should be noted that today, internal audit is widespread, the goals of which are to help improve management efficiency, including through a systematic and consistent approach to the analysis and assessment of the risk management system.

On the other hand, the internal control system is losing its relevance in the context of the transition from the use of quality management technologies to GovAgile - flexible project management in the civil service. Agile technology, which came from management, is now moving into public administration, offering to translate management decisions online, and making decisions robotic and computerized, thereby speeding up processes. In this system, people and their interactions are more important than the process and tools.

Project management in state bodies has been introduced in Kazakhstan relatively recently, project offices function in state bodies and interagency teams have been formed. The main difference between this and traditional working groups is the involvement and interaction of all stakeholders, flexible management and minimization of bureaucracy for solving tactical problems.

Question 5. *What would you like to change in the assessment methodology for the block "Interaction of state bodies with individuals and legal entities", taking into account the current realities and trends in promoting the Concepts "Hearing State", "Proactive Government", "Government for Citizens"?*

Experts suggest lists of "open data" for publication should not be approved by the state bodies themselves, which include in this list only what is beneficial to them. As a result, unstructured, chaotic data is published, and there is no system. Until the format of publishing data on the budget, open data, legal regulations changes, it will be difficult to change something meaningful in the methodology.

According to experts, it is also advisable to consider the possibility of introducing a level of solution to the problem in the appeals of individuals and legal entities. In addition, it is necessary to assess the work of state bodies on social networks not by the amount of content posted, but by work and interaction with other users and the openness of the state body on the Internet.

For citizens, according to experts, it is necessary to impose restrictions on the submission of complaints on unfounded facts, as well as on those where the essence of the appeal is not disclosed.

The experts also noted the current problem of redirecting (referring to the fact that this issue does not fall within the competence of this body) appeals from one body to another (to which the applicant has already applied), which leads to the applicant's repeated appeal.

*According to the criterion "Open legal acts"* it is advisable to assess the number of citizens involved in the discussion of draft laws and regulations, the share of accepted proposals from citizens and Public Councils.

*By the criterion "Open dialogue"* the indicators "holding Internet conferences" and "online broadcasting of public meetings" are assessed by their

number. In order to exclude formalism in the conduct of these events, it is proposed to estimate also the volume of the audience who took part in them, or the number of their views.

*Indicator "Efficiency of automation of public services"* in the volume of electronic government services provided, government services provided through the information systems of state bodies are taken into account. In practice, many of them are counted as electronic public services actually rendered offline, since data on the provided public services are entered into the system base by the service providers themselves.

For example, the services "Calling a doctor at home", "Making an appointment with a doctor", "Attaching to a hospital", "Issuing a veterinary passport", "Issuing a veterinary certificate", "Issuing a logging ticket", etc. in order to obtain reliable information about the volumes of services provided in electronic form, it is necessary to separate them by modifying the information systems of state bodies.

*Indicator "Automation of public services in the reporting period"* it is proposed to exclude, since these data have already been taken into account when assessing the indicator "Transfer of public services into electronic format", which we propose to exclude.

For LEBs it is proposed to introduce an assessment according to the indicators "Efficiency of automation of public services" and "Duration of unavailability of automated public services", since in practice, some automated public services are unavailable due to shortcomings on the part of the LEB. For example, e-licensing is not established, a single transport environment is not carried out, the necessary database is not formed.

*Question 6. What, in your opinion, needs to be done to improve the preparation of information for assessing the effectiveness of your state body's activities in the block "Interaction of state bodies with individuals and legal entities"?*

Based on responses from experts to improve the preparation of information to assess the effectiveness of the activities of the state body in which they work, the following measures were formulated in the block "Interaction of state bodies with individuals and legal entities":

- reduce the amount of provided data, which should be generated automatically;
- connect analysts to identify the most acute and pressing problems in matters of interaction between a state body and individuals and legal entities;
- conduct an analysis among the population to determine the most significant indicators in the work of state bodies with individuals and legal entities;
- improve the ALC system for uploading reporting data in the direction of "quality of consideration of complaints and applications", including the indicator on the number of extended calls, etc. Implement the ability to transfer orders (not related to requests) from the database of requests to official correspondence;
- execute applications from citizens clearly and in a timely manner;

- automate the process of collecting information and its optimization;
- provide for the filtration of applications from individuals and legal entities in accordance with the competence of the LEB;
- apply an individual approach to each complaint / appeal. Do not engage in routine responses or forwarding;
- improve the qualifications of each employee, ensure their interchangeability.

In addition, the respondents noted that according to the indicator "Level of satisfaction with the quality of the provision of public services", the assessment is carried out on the basis of information obtained from the results of public monitoring. In this regard, the quality of the assessment directly depends on the reliability of the personal data.

In order to increase transparency and reduce the cost of the study, it was proposed to transfer the main part of the questionnaires to electronic format and conduct a questionnaire directly at the time of the provision of public services.

*Indicator "Appeal against the quality of the provision of public services"* assessed on the basis of information provided by state bodies. At the same time, in practice, state bodies, as a rule, do not keep a separate record of requests on public services from the total volume of requests. In this regard, information on complaints is not complete, which affects the reliability of the assessment.

*According to the indicator "Compliance with the terms of the provision of public services"* one of the sources of information is the Monitoring IS. Practice shows the incorrectness of the data generated by this information system.

In addition, violations of the terms admitted during the period of failure of the information systems of state bodies are not taken into account by the assessment when confirming the facts of the failure with an appropriate document. Practice shows a large number of failures, especially in the line of the Ministry of Internal Affairs. In order to ensure the reliability of supporting documents on failures, it is proposed to indicate in them the reasons for the failure of the responsible organization.

## Conclusion

1) The results of the analysis of the regulatory framework and international experience have shown that Kazakhstan borrows to a greater extent the foreign practice of the methodology for assessing the activities of state bodies, taking into account their some adaptation to domestic conditions. So, as part of the development of electronic government, the State Corporation "Government for Citizens" together with JSC "National Information Technologies" is transferring public services into electronic format. Today 335 services are available on the e-Gov portal, and the level of their automation is 83.7%.<sup>49</sup>

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<sup>49</sup> Electronic government of Kazakhstan in the era of digitalization // URL: <https://profit.kz/articles/14612/Elektronnoe-pravitelstvo-Kazahstana-v-cifrovuu-epohu/>



2) For Kazakhstan, the most priority implementation of foreign experience is the MAF system (Canada), where today automated data collection is used, and the assessment of the activities of state bodies is carried out in electronic format (e-Assessment). At the same time, the European CAF 2020 model is interesting in that the system is aimed at sustainable development through not only innovation and digitalization, but also meeting the needs of citizens / customers. So, in the assessment of the activities of state bodies, indicators are included such as the general image and reputation of the organization, the availability of the organization and the customer focus of the staff. New Zealand's experience is helpful in promoting integrated and proactive services to improve delivery and take into account the community's life situations. South Korea has demonstrated a digital maturity and open government model that has enhanced the reliability of government data sources and customer-centric services in the COVID-19 environment. The experience of the USA, Great Britain and Singapore is relevant in terms of using the integral indicator of the degree of satisfaction of citizens with the activities of law enforcement agencies and public relations, and not in terms of the parameters of criminal statistics.

In general, the positive aspects of the methods used in foreign practice for assessing the activities of state bodies are the free access of citizens to information, the provision of integrated services by state bodies based on digital technologies, an active dialogue between citizens and state bodies, which lead to strengthening confidence in the government.

3) In general, the results of the analysis showed that the practice of conducting an annual assessment of the activities of state bodies has its positive results. It actively supports the reform to increase the transparency of state bodies, the availability and quality of public services, eliminate corruption risks and increase citizens' confidence in state bodies. However, a negative phenomenon was the increase in the total number of violations in terms of the provision of public services and justified complaints about the quality of the provision of public services by local authorities. The results of the analysis according to the criterion "Openness of the state body" testifies to the facts of the absence of updated information. In particular, the indicators of the number of published draft budget programs for 2 years out of 3 audited, the number of published draft regulatory legal acts, the share of timely responses to requests and questions from users, and according to the indicator of the level of compliance of the Internet resources of state bodies with the established requirements, data for the last year are not provided. In general, it can be noted that the weaknesses in assessing the effectiveness of the CSB and LEB are: insufficient focus on results; incomplete institutionalization; lack of publication of individual assessment results in the mass media and the Internet resource of the service provider.

According to the results of a survey of civil servants of authorized bodies for conducting an assessment on the block "Interaction of a state body with citizens", it was determined that the COVID-19 Pandemic did not directly affect this process. Since the assessment for 2019 was carried out in the first decade of April 2020, and

quarantine in Kazakhstan was introduced in the third decade of 2020. By this time, all organizational measures aimed at high-quality assessment, including cross-checking activities, have been carried out. By this time, all organizational measures aimed at high-quality assessment, including cross-checking activities, have been carried out. The COVID-19 pandemic may affect the operational assessment of the interaction of the state body with individuals and legal entities for 2020, since at the beginning of the pandemic, state bodies violated the deadlines for considering appeals due to the absence of employees due to disability (being on sick leave), technical failures in information systems.

The results of the analysis carried out using the "Tree Problem" revealed the main reason for the "weak customer focus of state bodies" - the difficulty in establishing feedback with the population and their distrust of state bodies, as well as low civic engagement, which together led to the lack of a proper constructive dialogue between the government and population.

The use of Matrix Important / Influence revealed that service recipients are poorly involved in conducting an effective assessment of the activities of state bodies, do not have the authority and necessary resources to directly participate in the assessment of the activities of state bodies. At the same time, their assessment, in the absence of an appropriate full-fledged accounting methodology, is indirectly taken into account when conducting a sociological survey or optional accounting of opinions through an electronic system.

4) The analysis of the criteria and indicators of the assessment, carried out with the help of an expert survey of the CSB and LEB, made it possible to identify topical issues in assessing the effectiveness of the activities of state bodies.

According to the criterion "Satisfaction of service recipients with the quality of the provision of public services," experts noted that public monitoring in the current format has a number of process flaws: it is expensive; not transparent, so it is impossible to double-check the accuracy of filling out the questionnaires by respondents; there is a risk of leakage of personal data of service recipients to a third-party organization performing public monitoring. It is proposed, at the time of receiving public services, to transfer public monitoring of the assessment of service recipients into electronic format through a mobile application.

According to the criterion "Ensuring the quality of the provision of public services" indicators: "unreasonable refusals to provide public services"; "Provision of public services with an incomplete package of documents"; more than half of the respondents agree that they do not reflect the quality of the provision of public services and should be converted to indicators for calculating penalty points. In assessing quality assurance, the following indicators will be used: the availability of the service and the reduction in the number of required documents from the service recipient.

According to the criterion "Automation of public services", about 2/3 of the experts agree to include indicators that assess the level of implementation of integrated and proactive public services. It is important to take into account the

technological architecture of information systems, information security and personal data protection issues.

In the area of "Openness of the state body", experts proposed to develop and approve a standard list of open data, acceptable and mandatory for all state bodies, on the basis of which the CSB and LEB will develop their own list, taking into account the specifics of their work. At the same time, the standard list should include data generated by state bodies in accordance with the Law "On State Statistics".

According to experts, the introduction of the indicator "citizens' satisfaction with the quality of responses to complaints and statements on the official blog platform of the heads of state bodies and organizations of the quasi-public sector" will not affect the reduction of complaints, but may affect the quality of consideration of appeals.

Experts suggest that the lists of "open data" for publication should not be approved by the state bodies themselves, which include in this list only what is beneficial to them. As a result, unstructured, chaotic data is published, there is no system. Until the format of publishing data on the budget, open data, legal regulations changes, it will be difficult to change something meaningful in the methodology.

When the experts were asked what they would like to change in the methodology within the framework of the concepts of "Hearing State", "Proactive Government" and "Government for Citizens", the following proposals were given:

- assess the work of state bodies in social networks in terms of interaction with other users and the openness of a state body on the Internet;

- according to the criterion "Open regulation" to assess by the number of citizens involved in the discussion of draft regulation and by the share of accepted proposals from citizens and Public Councils;

- according to the criterion "Open dialogue" in order to exclude formalism in the conduct of Internet conferences and online broadcasting of open meetings to evaluate by the number of participants or by the number of views;

- to exclude the indicator "Automation of public services in the reporting period", since these data were taken into account when assessing the indicator "Transfer of public services into electronic format";

- for LEB to introduce an assessment according to the indicators "Efficiency of automation of public services" and "Duration of unavailability of automated public services", since in practice, individual automated public services are not provided, due to shortcomings on the part of the LEB.

In order to improve the preparation of information for assessing the effectiveness of the state body, we identified the proposed significant measures by the interviewees:

- to attract analysts to identify topical problems in the interaction of the state body with citizens;

- to determine significant indicators in the work of state bodies with citizens, take into account the results of a population survey.

- for the reliability of the definition of the indicator "Appeal against the quality of the provision of public services" to introduce a separate accounting of applications on public services from the total volume of applications.

In general, the results of the analysis of the expert interviews made it possible to reveal systemic shortcomings in the methodology for assessing the effectiveness of the state body's activities in interacting with citizens. It should be noted that each criterion and its indicators require constant updating in order to ensure openness and transparency of the activities of state bodies.

## Recommendations

Based on the results of the analysis using the "Tree Problem" method, we recommend revising the target settings and tasks of the assessment methodology, both in general and for the block under study, based on the client-oriented nature of the state body. This is confirmed by the recent speech of the President of the Republic of Kazakhstan Kassym-Zhomart Tokayev at a meeting of the Supreme Council for Reforms, where he pointed out that "the entire system of public administration should become really "client-oriented", and the main client should be citizens of Kazakhstan. In fact, the entire system of public administration is to be rebooted - from civil service to local government. "<sup>50</sup>

The recommendations developed by us are based on the principle of customer focus and, if possible, based on the achieved level of Kazakhstani practice of public administration within the framework of the concepts of Citizens First, Collaborative Government, and Open Government.

1) We propose to single out the *criterion "Satisfaction of service recipients with the quality of the provision of public services"* in a separate area with a coefficient of 0.3 (formulas 1 and 2).

Based on the results of the research using the Matrix Important / Influence and Problem Tree methods and taking into account the models of the "hearing state" and "e-government", where the main priority will be the provision of complex services with individualization of the client, we believe that this direction would really reflect the communication with the population, contributing to the motivated interaction of state bodies with citizens.

According to the experts (90.3%), the satisfaction of service recipients is the most important criterion, since, in the end, they are consumers and their satisfaction reflects the quality of public services. Suggested changes to formulas:

*For central state bodies:*

$$O = 0.3 * S + 0.2 * U + 0.3 * D + 0.2 * H \quad (1)$$

*O* – general operational assessment of the CSB in the block "Interaction with citizens";

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<sup>50</sup> Meeting of the Supreme Council for Reforms on December 9, 2020.

[http://www.akorda.kz/ru/events/akorda\\_news/meetings\\_and\\_sittings/glava-gosudarstva-provel-zasedanie-vysshego-soveta-po-reformam#/upload/anounces/0b9a6ccbb9afe37c817211374123483.JPG](http://www.akorda.kz/ru/events/akorda_news/meetings_and_sittings/glava-gosudarstva-provel-zasedanie-vysshego-soveta-po-reformam#/upload/anounces/0b9a6ccbb9afe37c817211374123483.JPG)

*S* – operational assessment of CSB and LEB on "Satisfaction of service recipients with the quality of public services";

*U* – operational assessment of the CSB in the direction of "Quality of the provision of public services";

*D* – operational assessment of the CSB in the direction "Government transparency";

*H* – operational assessment of the CSB and LEB in the direction «Consideration of complaints and applications of citizens».

*For local executive bodies:*

$$A = 0.3 * S + 0.2 * T + 0.3 * F + 0.2 * H \quad (2)$$

*A* – general operational assessment of the LEB in the block "Interaction with citizens";

*T* – operational assessment of the LEB in the direction "Quality of the provision of public services;

*F* – operational assessment of the LEB in the direction "Government transparency".

2) According to the criterion "*Automation of public services*", we recommend applying the incentive indicator "Automation of public services in the reporting period" not only for the CSO, but also for the LEB.

The assessment of local executive bodies for this indicator is excluded, which, in our opinion, is insufficiently legitimate. At a round table meeting on November 6, 2020, experts confirmed that, in practice, LEBs do not take an active part in promoting electronic public services. Thus, LEBs can work on the implementation of automation of public services by consulting service recipients, increasing the literacy of the population on the use of automation tools and promoting the transfer of document flow to electronic format.

3) Add an additional indicator "*Provision of proactive services*" to the list of indicators of the criterion "Automation of public services".

According to the criterion "Automation of public services": 64.5% of the interviewed experts fully agree to include indicators assessing the level of implementation of integrated and proactive public services. The practice of using proactive public services will expand in the future in accordance with the approved rules for their provision.

4) Criterion "*Open Regulatory Legal Acts*" in the direction of "Open government".

a) Exclude indicators: "Placement of draft concepts of draft laws"; "Placement of draft regulations"; "Accuracy of filling out forms (completeness of fields, versioning, language layout). (items 1,2,3 in table 2.8)

We believe that they are the functional responsibility of the state body (Table 2.8).

b) Introduce 3 indicators with assessment scores instead of the indicator “Monitoring and consideration of user proposals and comments to draft regulatory legal acts and the results of regulatory impact analysis” (items 4 in Table 2.8):

- Monitoring and analysis of proposals (2 points);
- Development of recommendations on the proposals received (3 points);
- Submission of proposals to the draft regulatory legal acts (4 points);
- The share of users who are satisfied with the quality of the information received (1.5 points).

This is substantiated by the results of the Matrix Important / Influence and Problem Tree constructions, where it was determined that the customer focus of a state body should be a key link in the operational assessment of state bodies, and clients / citizens should be the main stakeholders.

5) *It is recommended to introduce the indicator “Participation of public organizations in the discussion of regulatory legal acts”.* Here you should pay attention to the fact that today citizens are not actively involved in this process. The solution, in our opinion, is the active support of citizens on the way of creating conditions for their unification into various associations and unions, whose tasks will include initiation, development and active participation in the adoption of regulatory legal acts.

6) *Quantitative indicators are used for ‘Open Data’ criterion.* In our opinion, the indicator "Accuracy and completeness of filling out data" does not reflect the qualitative aspect of this direction.

We propose to additionally introduce a qualitative indicator "Reliability and validity of data, providing the necessary initial data." This is due to the fact that the current situation does not allow creating conditions for a dialogue between the state body and citizens on the basis of the given calculated indicators due to the latter's distrust of them. It is necessary to apply a valid calculation method that will allow stakeholders, including state bodies, to recalculate themselves, if necessary.

The experts proposed to develop and approve a standard list of open data, acceptable and mandatory for all state bodies, on the basis of which the CSB and LEB will develop their own list, taking into account the specifics of their work. At the same time, the standard list should include data generated by state bodies in accordance with the Law "On State Statistics".

#### 7) *Direction "Consideration of complaints and applications"*

a) We recommend checking the correctness of the formula for calculating the criteria:

- "Compliance with the terms of consideration of complaints and applications";

- "The share of complaints and applications recognized as justified by a court decision (satisfied by the court)";

- "Consideration of repeated substantiated complaints and applications".

According to the criterion "Quality of consideration of complaints and applications", the formulas for calculating the following indicators, which are given below, have certain mistakes.

*Criterion "Compliance with the terms of consideration of complaints and applications"*

$$R1 = \left(1 - \left(\frac{f}{p} * 1000\right)\right) * k$$

where:

R1 - operational assessment of the CSB or LEB according to the criterion "Compliance with the terms of consideration of complaints and applications";

f - the number of complaints and applications considered by the assessed state body in violation of the established deadlines;

p - the total number of complaints and applications considered by the assessed state body;

k- the coefficient for reducing the results obtained to a weight value (for the CSB coefficient is 40, for the LEB - 40);

1,000 - the coefficient for determining the average value of time violations per 1,000 considered complaints and applications.

*Criterion "The share of complaints and applications recognized as justified by a court decision (satisfied by the court)"*

$$R2 = \left(1 - \left(\frac{a}{p} * 10000\right)\right) * k$$

where:

R2 - operational assessment of the CSB or LEB according to this criterion;

a - the number of complaints and applications recognized as justified by a court decision;

p - the total number of complaints and applications considered by the state body

k- the coefficient for reducing the results obtained to a weight value (for the CSB coefficient is 30, for the LEB - 30);

10,000 - coefficient for determining the average value of complaints and applications recognized as justified by a court decision (satisfied by the court) per 10,000 reviewed complaints and applications.

*Consideration of repeated substantiated complaints and applications*

$$R3 = \left(1 - \left(\frac{n}{m} * 100\right)\right) * k$$

where:

R3 - operational assessment of the CSB or LEB according to this criterion;

n- the total number of repeated complaints and applications, satisfied as a result of consideration by a state body in the reporting period;

m- the total number of complaints and applications considered by the state body in the reporting period;

k - coefficient for reducing the results to a weight value (according to this criterion, the coefficient is 20);

100- the coefficient for determining the average value of complaints and applications substantiated upon re-examination, per 100 complaints and applications considered by the state body in the reporting period.

Table 2.9 - Examples of calculations of the criterion "Quality of consideration of complaints and applications"

<b>Criterion R1</b>	<b>Criterion R2</b>	<b>Criterion R3</b>
"Compliance with the terms of consideration of complaints and applications"	"The share of complaints and applications recognized as justified by a court decision (satisfied by the court)"	Consideration of repeated substantiated complaints and applications
$-2360 = \left(1 - \left(\frac{3}{50} * 1000\right)\right) * 40$	$-17970 = \left(1 - \left(\frac{3}{50} * 10000\right)\right) * 30$	$-100 = \left(1 - \left(\frac{3}{50} * 100\right)\right) * 20$
$37,6 = \left(1 - \left(\frac{3}{50000} * 1000\right)\right) * 40$	$29,9 = \left(1 - \left(\frac{3}{50000} * 10000\right)\right) * 30$	$19,88 = \left(1 - \left(\frac{3}{50000} * 100\right)\right) * 20$
Note: compiled by the authors		

Calculations using an increase or a decrease in absolute values in a fraction show that the formula does not take into account and level out the positive dynamics of a decrease in the total number of complaints and statements. (Table 2.9)

It shows that the negative dynamics of the growth of complaints and applications leads to a positive result of the constituent criteria, while the positive dynamics of the decrease in complaints and applications leads to a negative result.

b) We recommend replacing the indicator "Internal control over the consideration of complaints and applications" (R 4) with an internal audit with the prospect of implementing Agile quality management technology, which is an integral part of project management.



In addition, we consider the introduction of an additional indicator “Internal control over the consideration of complaints and applications” (R 4) is unreasonable. There is an inconsistency in bringing the head of a state body to mandatory disciplinary responsibility of a civil servant for violating the term for considering a document without revealing its objective reasons in order to obtain the maximum score.

So, according to Appendix 13 to the Methodology, “if the share of the number of facts of prosecution” is from 90% to 100% of the total number of complaints and applications considered in violation of the terms, then 10 points are assigned to the state body”:

from 80% to 89.9% - 8 points;

from 70% to 79.9% - 6 points;

from 60% to 69.9% - 4 points;

from 50% to 59.9% - 1 point;

less than 49.9% - 0 points.

c) It should be introduced an additional criterion "One-time acceptance of documents from the applicant with a full package without the right to claim additional documents" for the direction "Consideration of complaints and applications of citizens". So, according to the ARKCSA, for the 1st quarter of 2020, 101 thousand violations were revealed, 87.6% are the facts of requesting unnecessary documents from service recipients<sup>51</sup>.

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<sup>51</sup> Over 100 000 violations were revealed in the provision of public services // URL: <https://www.gov.kz/memleket/entities/qyzmet/press/news/details/svyshe-100-tysyach-narusheniy-vyyavleno-v-sfere-okazaniya-gosudarstvennyh-uslug?lang=ru>

## **CHAPTER 3. ASSESSMENT OF THE ORGANIZATIONAL DEVELOPMENT OF THE STATE BODY**

### **3.1 Analysis of legal regulation of assessing the performance of state bodies**

The assessment for the "Organizational Development" section is aimed at determining the effectiveness of the activities of the CSB and LEB in two directions:

- 1) "Human Resources Management" (50%);
- 2) "Application of information technologies" (50%).

The analysis is aimed at the activities of state bodies and civil servants in the implementation of reforms within the framework of the Law "On the Civil Service of the Republic of Kazakhstan"<sup>52</sup>, the service model of informatization, improving the efficiency of the implemented and being implemented IS and databases, as well as the comprehensive digitalization of the public administration system.

The assessment is carried out according to the Methodology<sup>53</sup> operational assessment of the activities of state bodies in the section "Organizational development of a state body" (hereinafter - the Methodology).

Compared to the previous cycle of assessment, the Methodology has been revised both in terms of assessing personnel management and the application of information technology.

The assessment of personnel management includes new indicators, such as "Qualitative composition of personnel", "Strategic personnel planning", the calculation of labor standards has been changed and penalty points have been introduced for violations of the terms of training of civil servants.

Thus, the developed set of criteria covers all stages of civil service - from hiring civil servants and organizing work in a state body to conducting an exit interview upon dismissal.

In order to implement systems annual assessment of the effectiveness of the central state and local executive bodies of regions, a city of republican significance, the capital, approved by the Decree of the President of the Republic of Kazakhstan dated March 19, 2010 No. 954 "On the System of Annual Evaluation of the Performance of Central State and Local Executive Bodies of Regions, Cities of Republican Significance, the Capital" the methods for assessing the effectiveness of the use of information technologies are approved. During this time 6 methods were adopted, as well as the evolution of the criteria for assessing the application of information technologies in public administration.

So, starting from 2014, the evaluation criteria are classified into effective criteria that determine the efficiency of using the Internet resource, as well as

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<sup>52</sup> Law "On the Civil Service of the Republic of Kazakhstan" (dated November 23, 2015 No. 416-V 3PK)

<sup>53</sup> Joint order of the acting Minister of DDIAI RK dated January 27, 2020 No. 32 / NK and the Chairman of the ASCA RK dated January 28, 2020 No. 25 "On approval of the Methodology for the operational assessment of the activities of state bodies in the section" Organizational development of a state body."

process criteria that determine the effectiveness of the processes of activity in the application of information technologies. Basically, the criteria for the methods from 2012 to 2017 changed slightly.

In 2015, two laws "On Information" are adopted<sup>54</sup> and "On access to information"<sup>55</sup>, which caused the adoption of a new methodology and the change of the formulation "information" to "information and communication" technologies.

In 2017, the number of assessment criteria is significantly reduced to two, we believe that this is due to the evolution of the use of information technologies by state bodies. Interestingly, the 2017 methodology describes the effects that should be obtained from the use of information technologies in the activities of state bodies, namely the economic effect, operational effect, strategic effect and motivational effect.<sup>56</sup>

Approaches are radically changing in 2019 with the introduction of an architectural approach in the activities of state bodies, which implies a reduction in the chains of business processes and the transition from a functional to a matrix organizational structure, that is, a complete separation of activities into project and operational, which is possible only through the distribution of roles at the level IT architecture. As such, the 2019 assessment was aimed at sustaining this transformation. The transition to a matrix system of state bodies has not yet taken place, unfortunately, and the assessment is already underway<sup>57</sup>.

The operational assessment for this section was carried out by the Presidential Administration, the Office of the Prime Minister, authorized bodies for civil service and informatization.

The operational assessment of the organizational development of state bodies is carried out in accordance with the schedule for the operational assessment of activities, approved by the order of the Head of the Presidential Administration of the Republic of Kazakhstan.

The purpose of the third section was created to stimulate internal factors to increase the efficiency of CSBs and LEBs as organizations. This section evaluates how a state body uses IT systems in its work and how it manages personnel.

*a) Operational assessment in the area of "Human Resources"* carried out by the authorized body for civil service affairs according to the following criteria:

- human resources of the state body;
- labour organization;

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<sup>54</sup>Law of the Republic of Kazakhstan "On informatization" dated November 24, 2015 No. 418-V 3PK.

<sup>55</sup>The Law of the Republic of Kazakhstan "On Access to Information" dated November 16, 2015 No. 401-V 3PK.

<sup>56</sup>Joint order of the Minister of M&C of the Republic of Kazakhstan dated October 24, 2017 No. 379 and the Chairman of the Agency for Civil Engineering and Social Development of the Republic of Kazakhstan dated October 24, 2017 No. 232. Registered with the Ministry of Justice of the Republic of Kazakhstan on December 26, 2017 No. 16133. Abolished by joint order of the Minister of M&C of the Republic of Kazakhstan dated February 1, 2019 No. 43 and the Chairman PSAiPK dated February 1, 2019 No. 24 "On approval of the Methodology for assessing the effectiveness of organizational development of state bodies"

<sup>57</sup>Joint order of the Minister of I&C of the Republic of Kazakhstan dated February 1, 2019 No. 43 and the Chairman of the Agency for Civil Engineering and Civil Engineering of the Republic of Kazakhstan dated February 1, 2019 No. 24 "On approval of the Methodology for assessing the effectiveness of the activities of state bodies in the section" Organizational development of a state body

- meritocracy and organizational culture.

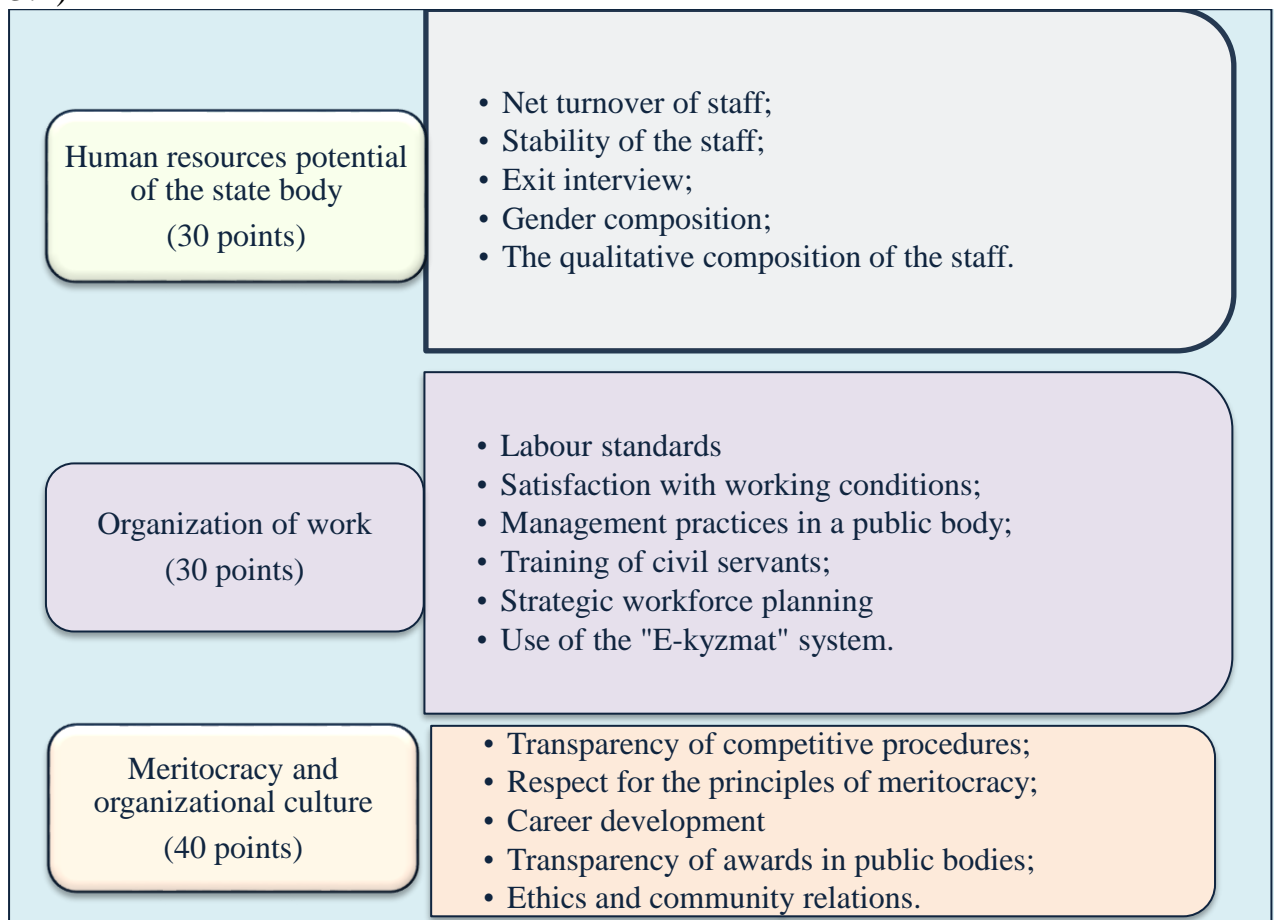
The objects of assessment in the direction of "Personnel Management" are the Central state bodies and their departments, territorial subdivisions of the Central state bodies and their departments in the regions, cities of republican significance and the capital, as well as local executive bodies, with the exception of district departments.

According to the criterion "Personnel potential of the state body", the personnel of the state body, its change and the effectiveness of the personnel policy of the state body are assessed.

According to the criterion "Labor organization", the level of organization of work processes within a state body is assessed through the creation of comfortable working conditions and an effective personnel management system.

The criterion "Meritocracy and organizational culture" assesses the effectiveness of the activities of a state body in implementing the principles of meritocracy and establishing business relationships within the organization, compliance with ethical standards by civil servants.

Evaluation of the effectiveness of state bodies in the direction of "Personnel Management" includes three main areas, each of which has its own criteria (Figure 3.1)



Note: compiled by the authors

Figure 3.1 - Directions and evaluation criteria for the direction "Personnel Management"

The overall score for these areas is calculated using the following formulas:  
Assessment according to the criterion "Human resources of the state body" (K) is calculated using the following formula:

$$K = C + S + V + G + P,$$

Where:

*C* - assessment of the state body according to the indicator "Net staff turnover" (leaving the civil service);

*S* - assessment of the state body according to the indicator "Personnel stability";

*V* - assessment of the state body according to the indicator "Exit interview"

*G* - assessment of the state body according to the indicator "Gender composition";

*P* - assessment of the state body according to the indicator "Qualitative composition of personnel".

The maximum value for this criterion is 30 points.

The score for the "Labor Organization" criterion (O) is calculated using the following formula:

$$O = N + T + Y + S + U + E,$$

Where:

*O* - assessment according to the criterion "Labor organization";

*N* - indicator "Normalization of labor";

*T* - indicator "Satisfaction with working conditions";

*Y* - indicator "Management practices in a state body";

*U* - indicator "Training of civil servants";

*S* - bonus indicator "Strategic workforce planning";

*E* - bonus indicator "Use of" E-kyzmet "system.

The maximum value for this criterion is 30 points.

The score for the criterion "Meritocracy and culture" (M) is calculated using the following formula:

$$M = A + B + C + D + E,$$

Where:

*M* - assessment of the state body according to the criterion "Meritocracy and organizational culture";

*A* - indicator "Transparency of tender procedures";

*B* - indicator "Compliance with the principles of meritocracy";

*C* - indicator "Career growth";

*D* - indicator "Transparency of incentives in a state body";

*E* - indicator "Ethics and relationships in the team";

The maximum value for this criterion is 40 points.

The operational assessment of activities in the area of "Human Resources" is calculated using the following formula:

$$H = K + O + M - W,$$

Where:

- H* - the overall score in the area of "Human Resources Management";
- K* - a point according to the criterion "Human resources of a state body";
- O* - score for the "Labor organization" criterion;
- M* - score on the criterion "Meritocracy and organizational culture";
- W* - penalty points.

In accordance with the Methodology, assessment indicators have the following gradation:

- a high degree of efficiency of the state body - from 90 to 100 points,
- medium degree - from 70 to 89.99 points,
- low degree - from 50 to 69.99 points.
- ineffective activity of a state body - less than 50 points.

Having studied the state of organizational development of state bodies and the Methodology, we carried out a SWOT analysis, which made it possible not only to identify a number of problems in the assessment, but also to improve the effectiveness of the Assessment. (table 3.1)

Table 3.1 - SWOT analysis for the section "Organizational development"

Strengths	Weaknesses
<p>Measures to improve personnel efficiency and civil service reform in the country show a positive systemic effect in the framework of personnel management in state bodies.</p> <p>The presence of a state policy in improving the system of the country's civil service and a system for assessing the effectiveness of the activities of administrative civil servants and state bodies in this direction;</p> <p>The presence of an organizational basis for the regulation of assessment procedures;</p> <p>The current regulatory legal acts that ensure the assessment of the effectiveness of state bodies in the "Organizational Development" section.</p> <p>Ease of calculation in the direction of "Application of information technology".</p>	<p>Complicated assessment methodology for the "Personnel Management" section, as a result, there is no proper attention to the strategic guidelines of the organization and working conditions of civil servants, human resources retention (HRR);</p> <p>The complexity of the assessment leads to the erosion of the strategic priorities of state bodies in the area of assessment "Personnel Management";</p> <p>Formalism when using the methodology leads to a conflict between departments (when monitoring and controlling the CSB and LEB);</p> <p>The methodology in the direction of "Application of information technologies" does not take into account the likelihood of the absence of IP on the balance sheet of the state body or the absence of integrations included in the Plan of Integration Measures (for absence, "0" is put, which negatively affects the overall rating).</p> <p>Changes to the Methodology are introduced at the end of the assessed year.</p>

	<p>Some of the LEB data must be entered manually, which demotivates civil servants and negatively affects the attitude towards automation.</p> <p>It takes some time to implement certain information technologies, but this fact is not taken into account when assessing</p> <p>It only stimulates the implementation of planned integrations, but does not stimulate the integration of all operating systems.</p>
<b>Opportunities:</b>	<b>Threats:</b>
<p>Continuous improvement of selection tools for administrative civil service and HRR, taking into account the recommendations of the OECD;</p> <p>Substantial support of the reform by the country's top leadership in assessing the effectiveness of the activities of civil servants and state bodies;</p> <p>Opportunity for state bodies to form an open and transparent organizational culture of a state body, taking into account the assessment criteria;</p> <p>The growing interest and level of access of the population to the data of assessing the activities of state bodies will increase the level of their involvement in the decision-making process;</p> <p>Encouraging state bodies to post packages of documents and necessary information about information systems on the architectural portal;</p> <p>Encouraging the assessed state bodies to integrate information systems with an e-government gateway in order to minimize the number of information requests between state bodies and the number of documents and information requested from individuals and legal entities when providing them with government services.</p> <p>Encouraging the assessed state bodies to maintain the full relevance of information contained in information systems and databases to ensure the reliability of data when making managerial and other decisions, the continuity of state bodies in their supervised areas and industries, as well as the provision of government services.</p>	<p>Decrease in the level of trust of residents in civil servants and state bodies due to the lack of understanding by the population of measures aimed at improving the quality of life of the population, and the closed nature of state bodies;</p> <p>The validity of the assessment results is not subject to public / independent review;</p> <p>Low level of participation of the civilian population in assessing the performance of state bodies;</p> <p>The activities of many state bodies are focused on the assessment process, and not on the result of improving the organizational development of the state body, which leads to the erosion of the very concept of "performance" and the formalism of the assessment system;</p> <p>Low level of competence of civil servants, including at the local government level (in particular, soft skills);</p> <p>The lack of a differentiated approach can lead to demotivation of the state body to participate in the digitalization of government.</p> <p>Duplication of many processes on paper, which demotivates civil servants.</p>
Note: compiled by the authors	

As can be seen from Table 3.1, state policy in recent years has been aimed at the organizational development of the civil service, as evidenced by the civil service reforms aimed at increasing the efficiency of civil servants. The operational assessment of performance in the Organizational Development block is aimed at the same. Conducting this assessment has an institutional basis, but at the same time, changes are constantly being made to regulatory legal acts, sometimes even post factum, which introduces a certain destabilization both in the activities of state bodies in general and in the activities of civil servants responsible for the assessment.

It should be noted the complexity and labor-consuming nature of the assessment in the direction of "HR Management". It consists of many indicators, surveys of the civil servants themselves, which negatively affects its objectivity. At the same time, the assessment in the direction of "Application of information technology" consists of simple quantitative indicators and its implementation does not cause difficulties.

The purpose of the assessment is to stimulate organizational development, including HR management and the use of information technology by these personnel, which will increase the effectiveness of the public service, but the assessment methodology often has the opposite effect (see 2.3.). This state of affairs leads to a change in landmarks, state body seeks not to organizational development, to achieve strategic goals, but to obtain points.

Failure to participate in the operational assessment of civil institutions generates public distrust, but at the same time, the use of information technology, openness of data allows the active part of the population to obtain the necessary data and raise questions before the responsible officials in various legitimate ways, including on official websites and pages in social networks and etc. Nevertheless, we consider it necessary to include representatives of civil society in the assessment process in order to obtain an objective and transparent result.

In recent years, recruitment for the civil service was carried out through tests that revealed hard skills, but not digital literacy, the realities of today require more soft skills and skills in using information technology.

It should be understood that all the problems named in the table cannot be solved only with the help of the Assessment, complex measures are needed, including the use of modern HR technologies and tools.

The strengths of the legal regulation of the Assessment of the Performance of State Bodies are the formed institutional environment within the framework of the System of the Current Assessment, civil service reform and digitalization of state bodies. The weaknesses include a complex assessment methodology, which includes a large number of criteria and indicators for each area of the "Organizational Development" section.

Opportunities, in our opinion, are that selection tools for administrative civil service and HRR are constantly being improved, taking into account the recommendations of the OECD, substantive support of the reform is also carried out by the country's top leadership in assessing the effectiveness of civil servants and state bodies, and there are opportunities for state bodies to create an open and transparent organizational culture of the state body, taking into account the assessment criteria for personnel management and the use of information technology. We referred to threats and noted the following: a decrease in the level of trust of residents in civil servants and state bodies due to the lack of understanding by the population of measures aimed at improving the quality of life of the population, and the secrecy of state bodies, and the fact that the reliability of the assessment results cannot be double-checked by the public/ independent commissions.



### 3.2 Analysis of the assessment methodology for the organizational development block of state body

It should be noted that the new Methodology<sup>58</sup> for the operational assessment of the state body performance in the "Organizational Development" block of the "Human Resources" direction has become more understandable and convenient for calculating points. However, there are areas of development that can significantly improve it, given new trends and concepts in public administration and best foreign experience.

Methodology for the operational assessment of the activities of the state body in the area of "Personnel management" (table 3.2).

Table 3.2 - Comparative analysis of the assessment methodology in the direction of "Human Resources"

No.	Old methodology <sup>59</sup> (2017)	Old methodology (2019)	New methodology (2020)
1	<b>The criterion "Personnel potential of the state body"</b>		
	1. Net staff turnover; 2. Staff stability; 3. <i>Changeability of newly hired employees;</i> 4. <i>Staff turnover;</i> 5. <i>Potential turnover;</i> 6. Exit interview.  $K = C + S + J + O + P + V$ 30 points	1. Net staff turnover; 2. <b>Staff stability;</b> 3. <i>Changeability of newly hired employees;</i> 4. Exit interview; 5. Gender composition; 6. <i>Replacing vacant administrative civil service positions in corps A (penalty rate).</i>  $K = C + S + J + V + G - A$ 30 points	1. Net staff turnover; 2. Staff stability; 3. Exit interview; 4. Gender composition; 5. <i>High-quality staff.</i>  $K = C + S + V + G + P$ 30 points

<sup>58</sup>Joint order of the acting Minister of DDIAI RK dated January 27, 2020 No. 32 / NK and the Chairman of the ASCA RK dated January 28, 2020 No. 25 "On approval of the Methodology for the operational assessment of the activities of state bodies in the section" Organizational development of a state body."

<sup>59</sup>Methodology for assessing the effectiveness of organizational development of government agencies. Joint Order of the Minister of Information and Communications of the Republic of Kazakhstan dated January 26, 2017 No. 25 and the Chairman of the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption Affairs dated January 27, 2017 No. 21 "On some issues of assessing the effectiveness of the organizational development of state bodies."

<b>2</b>	<b>Labor organization criterion</b>		
	1. Labor standardization; 2. Satisfaction with working conditions; 3. Management practices in a state body.  O = N + T + Y 25 points	1. Labor standardization; 2. Satisfaction with working conditions; 3. Management practices in a state body; 4. <i>Training of civil servants;</i> 5. <i>Strategic workforce planning;</i> 6. <i>Using the E-Kyzmet system.</i> O = N + T + Y + S + U + E 30 points	1. Labor standardization; 2. Satisfaction with working conditions; 3. Management practices in a state body; 4. <i>Training of civil servants;</i> 5. <i>Strategic workforce planning;</i> 6. <i>Using the E-Kyzmet system.</i>  O = N + T + Y + S + U + E 30 points
<b>3</b>	<b>Criterion "Meritocracy and organizational culture"</b>		
	1. Transparency of tender procedures; 2. Compliance with meritocracy; 3. Career growth; 4. Transparency of promotion in a state body; 5. Ethics and relationships in the team; 6. <i>Contribution to the implementation of the tasks of the state body</i> M = A + B + C + D + E + F 45 points	1. Transparency of tender procedures; 2. Compliance with the principles of meritocracy; 3. Career growth; 4. Transparency of promotion in a state body; 5. Ethics and relationships in the team; 6. <i>Knowledge of languages.</i> M = A + B + C + D + E + F 40 points	1. Transparency of tender procedures; 2. Compliance with the principles of meritocracy; 3. Career growth; 4. Transparency of promotion in a state body; 5. Ethics and relationships in the team.  M = A + B + C + D + E 40 points
Note: compiled by the authors			

As can be seen from Table 3.2, the methodology for the operational assessment in the area of "Human Resource Management" in 2020 has changed significantly compared to the Methodology in 2017, due to the addition and reduction of some criteria and their indicators.

It should be noted that the new Methodology operational evaluation activities of the state body in the "Organizational Development" section in the direction of "Personnel Management" became more understandable and convenient for calculating points. Nevertheless, there are points of growth that can significantly improve it, if we take into account new trends and concepts in the field of public administration and the best foreign experience.

*b) Operational assessment in the area of "Application of information technology"* carried out MDDIAI RK according to the following criteria:

- 1) filling the architectural portal;
- 2) integration of information systems of state bodies;
- 3) relevance of information contained in information systems and databases;
- 4) availability of unused information systems and databases;

5) automation of functions of state bodies.

According to the criterion "Filling the architectural portal", the degree of filling the architectural portal with state authorities is assessed and is carried out according to the information posted on the architectural portal. The assessment is aimed at encouraging state bodies to post packages of documents and necessary information about information systems on the architectural portal.

Assessment according to the criterion "Integration of information systems of state bodies" is aimed at stimulating the assessed state bodies to integrate information systems with an e-government gateway in order to minimize the number of information requests between state bodies and the number of documents and information requested from individuals and legal entities when providing them with public services.

Assessment according to the criterion "Relevance of information contained in information systems and databases" is aimed at stimulating the assessed state bodies to maintain the full relevance of information contained in information systems and databases to ensure the reliability of data when making managerial and other decisions, the continuity of the activities of state bodies in supervised spheres and industries, as well as the provision of public services.

Assessment according to the criterion "Availability of unused information systems and databases" is aimed at identifying unused functions of the assessed state body or the state services of information systems and databases provided by it in order to optimize the volume of information assets owned by state bodies and the cost of owning such assets.

Assessment according to the criterion "Automation of the functions of state bodies" is aimed at a comprehensive study of work on the automation of the activities of the evaluated state bodies.

In 2020, when defining assessment criteria, an even greater emphasis is placed on stimulating information integration of all state bodies to increase the efficiency of horizontal relations in public administration, as well as to improve the quality of public services. In addition, the assessment methodology is aimed at enhancing the revision of databases and information systems of state bodies for relevance.

We believe that such a forced policy in the field of digitalization of the state bodies' performance allowed Kazakhstan to take the 29th place in the UN Rating on the development of electronic government among 193 UN member states. Thus, our country has risen by 10 positions in 2 years, and also painlessly and urgently allowed 80% of civil servants of the CSB and LEB of Nur-Sultan to switch to telecommuting in the face of restrictions caused by the Covid-19 pandemic<sup>60</sup>.

Vincenzo Aquaro, Head of the Digital Government Office of the United Nations Department of Economic and Social Affairs (UN DESA), also notes the need for such changes: "In recent months, the demand for accelerating digital

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<sup>60</sup> UN Study: E-Government 2020. Digital Government in a Decade of Action for Sustainable Development. UN, New York, 2020. <https://publicadministration.un.org/egovkb/Portals/egovkb/Documents/un/2020-Survey/2020%20UN%20E-Government%20Survey%20-%20Russian.pdf>

transformation in the public sector, as shown by our e-government survey, has grown sharply."<sup>61</sup>

Table 3.3 - Criteria for "Assessment of the use of information technology by a state body"

Year	Criteria "Evaluation of the application of information technology by a state body"
December, 29 2012	1) the effectiveness of the Internet resource; 2) the use of interdepartmental information systems; 3) automation of functions (processes) of a state body; 4) the effectiveness of departmental information systems; 5) the share of integration of departmental information systems.
February, 19 2014	1) effective criterion: the effectiveness of the Internet resource; 2) process criteria: the effectiveness of departmental information systems; - share of partially / fully automated functions of a state body; use of interdepartmental information systems.
February, 18 2015	1) effective criterion: the effectiveness of the Internet resource; 2) process criteria: share of integration of departmental information systems; the degree of institutional strengthening of the activities of the state body for the implementation of information technologies; automation of the functions of a state body; use of interdepartmental information systems.
December, 30 2015	1) effective criterion: the effectiveness of the Internet resource; 2) process criteria: share of integration of departmental information and communication systems; the degree of institutional strengthening of the activities of the state body for the implementation of information and communication technologies; automation of the functions of a state body; use of interdepartmental information systems.
October, 24 2017	1) the use of departmental, as well as information systems supervised by state bodies, organizations in spheres and industries; 2) use of information systems of another state body

<sup>61</sup> An online conference on the topic "Achievements and Challenges in the Development of E-Government in the Countries of the Region in the Context of the UN E-Government Review" was organized by the Astana Civil Service Hub, the Ministry of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan, the UN Department of Social and Economic Affairs, the Zerde Holding "inform.kz" [https://www.inform.kz/ru/elektronnoe-pravitel-stvo-po-kakim-poziciyam-kazahstan-lidiruet-sredi-stran-sng\\_a3711430](https://www.inform.kz/ru/elektronnoe-pravitel-stvo-po-kakim-poziciyam-kazahstan-lidiruet-sredi-stran-sng_a3711430)

February, 1 2019	<ol style="list-style-type: none"> <li>1) filling the architectural portal;</li> <li>2) functional performance of information systems;</li> <li>3) the effectiveness of information systems of state bodies;</li> <li>4) automation of the functions of state bodies;</li> <li>5) use of the Intranet portal of state bodies.</li> </ol>
January, 27 2020	<ol style="list-style-type: none"> <li>1) Filling the architectural portal;</li> <li>2) Integration of information systems of state bodies;</li> <li>3) the relevance of information contained in information systems and databases;</li> <li>4) Availability of unused information systems and databases;</li> <li>5) Automation of functions of state bodies.</li> </ol>
<p>Source:<sup>62 63 64 65 66 67</sup></p> <p>Note: compiled by the authors</p>	

Analysis of the current situation with a balance of powers - responsibility and resources

According to the new Operational Assessment Methodology for the Organizational Development block, the main authorized bodies are:

- 1) Administration of the President of the Republic of Kazakhstan;
- 2) Government of the Republic of Kazakhstan;
- 3) CSA;

<sup>62</sup>Order of the acting Of the Minister of Transport and Communications of the Republic of Kazakhstan dated December 29, 2012 No. 937. Registered with the Ministry of Justice of the Republic of Kazakhstan on January 14, 2013 No. 8262. Abolished by order of the Minister of Transport and Communications of the Republic of Kazakhstan dated February 19, 2014 No. 137 On approval of the Methodology for assessing the effectiveness of the use of information technologies

<sup>63</sup>Order of the Minister of Transport and Communications of the Republic of Kazakhstan dated February 19, 2014 No. 137. Registered with the Ministry of Justice of the Republic of Kazakhstan on March 6, 2014 No. 9194. Abolished by order of the acting Minister for Investment and Development of the Republic of Kazakhstan dated February 18, 2015 No. 135 "On approval of the Methodology for assessing the effectiveness of the use of information technologies"

<sup>64</sup>Order of the acting Minister for Investment and Development of the Republic of Kazakhstan dated December 30, 2015 No. 1279. Registered with the Ministry of Justice of the Republic of Kazakhstan on February 1, 2016 No. 12961. "On approval of the Methodology for assessing the effectiveness of state bodies in the application of information and communication technologies"

<sup>65</sup>Joint order of the Minister of Information and Communications of the Republic of Kazakhstan dated October 24, 2017 No. 379 and the Chairman of the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption Affairs dated October 24, 2017 No. 232. Registered with the Ministry of Justice of the Republic of Kazakhstan on December 26, 2017 No. 16133. Abolished joint order of the Minister of Information and Communications of the Republic of Kazakhstan dated February 1, 2019 No. 43 and the Chairman of the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption Affairs dated February 1, 2019 No. 24 Anti-Corruption dated February 1, 2019 No. 24 "On Approval of the Methodology for Assessing the Effectiveness of development of state bodies "

<sup>66</sup> Joint Order of the Minister of Information and Communications of the Republic of Kazakhstan dated February 1, 2019 No. 43 and the Chairman of the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption Affairs dated February 1, 2019 No. 24 "On approval of the Methodology for assessing the effectiveness of the activities of state bodies in the section" Organizational development of a state body ""

<sup>67</sup> Joint order of the acting Minister of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan dated January 27, 2020 No. 32 / NK and the Chairman of the Agency of the Republic of Kazakhstan for Civil Service Affairs dated January 28, 2020 No. 25 On approval of the Methodology for the operational assessment of the activities of state bodies for the section "Organizational development of the state body "

#### 4) MDDIAI (table 3.4)

Table 3.4 - The system of bodies authorized for assessment in the "Organizational Development" block

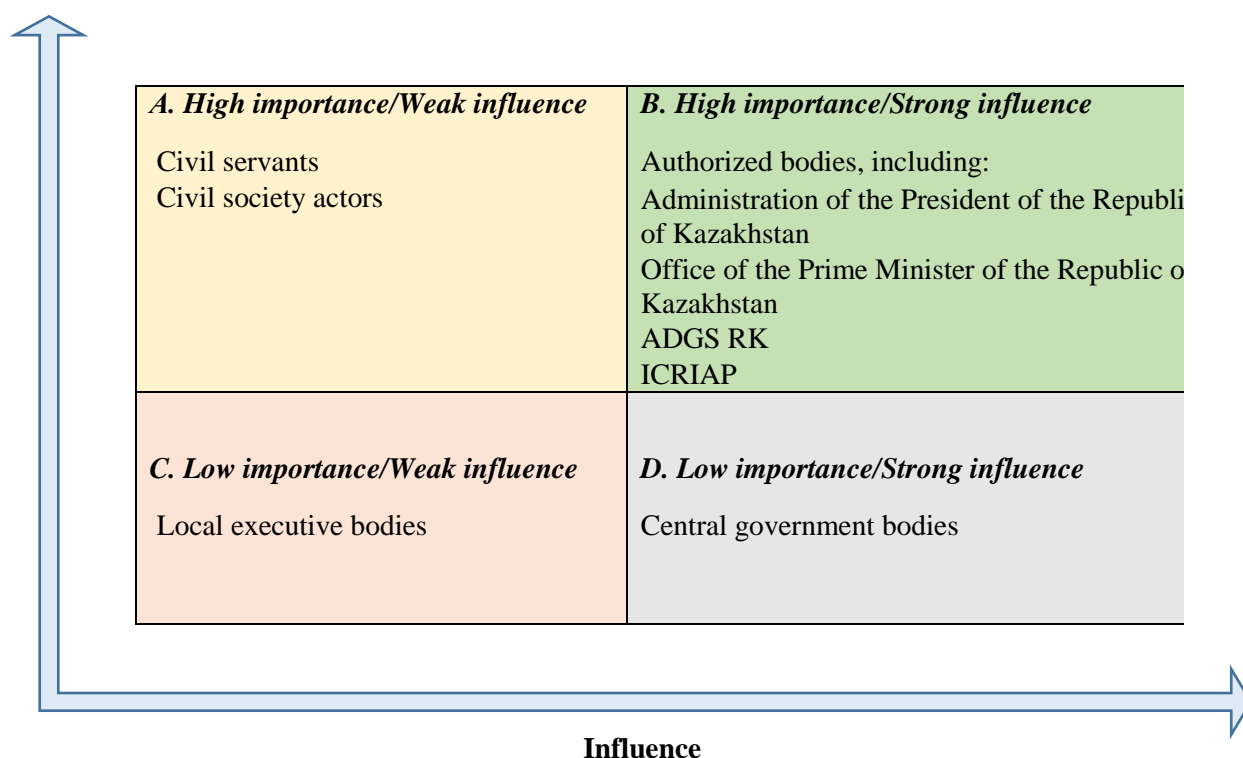
<b>Credentials</b>	<b>Responsibility</b>	<b>Name of the state body</b>
General process management		Administration of the President of the Republic of Kazakhstan
Methodological support		Administration of the President of the Republic of Kazakhstan Authorized bodies for evaluation LLP "Center for Research, Analysis and Performance Evaluation" of the Accounts Committee
Assessment by notified bodies		Administration of the President of the Republic of Kazakhstan Office of the Prime Minister of the Republic of Kazakhstan
Evaluation of CSB and LEB	Assessment in the direction of "Human Resources": human resources potential of the state body; Labour Organization; meritocracy and organizational culture.  Assessment in the direction "Application of information technology": filling the architectural portal; integration of information systems of state bodies; relevance of information contained in information systems and databases; availability of unused information systems and databases; automation of government functions	CSA RK          MDDIAI RK
Source: Methodology <sup>68</sup> of operational assessment of the activities of the state body. Note: compiled by the authors		

We used the Matrix Important/Influence method to determine the degree of influence and the level of interest of stakeholders in relevant issues or the possible

<sup>68</sup> Joint order of the interim Minister of DDIAI dated January 27, 2020 No. 32 and the Chairman of CSA dated January 28, 2020 No. 25 "On approval of the Methodology for the operational assessment of the activities of state bodies in the block" Organizational development of a state body."

goals of an operational assessment of the activities of a state body. It allows you to understand the importance and influence of each stakeholder, thanks to this information it becomes possible to develop a specific approach and strategy for the identified stakeholders (Figure 3.2).

High importance/Low impact. The operational assessment of state bodies in the "Organizational Development" block is aimed at stimulating internal factors to increase the efficiency of the CSB and local executive bodies as organizations. This block assesses how a state body uses IT systems in its work as part of the implementation of the Digital Kazakhstan State Program in the framework of direction 1. Transition to a digital state, and how it manages personnel on the way to the formation of a strategic and innovative civil service.



Note: compiled by the authors

Figure 3.2 - Matrix Importance/Influence

*A. High importance / Low impact.* Based on the analysis of this matrix, civil servants, as the most important subjects of organizations, and subjects of civil society are of the highest importance. It should be noted that they do not have such a level of power to influence the methodology for assessing the activities of state bodies and civil servants. So, for example, globally, individuals and groups of civil society persons are voluntarily engaged in various forms of public participation in assessing the activities of state bodies and act on the basis of common interests, tasks and values compatible with the goals of the public administration system. This format of participation can be based on opinion polls, studies, observations, etc., where both civil servants and the population could propose criteria for evaluating activities or also give a real assessment of the activities of civil servants and state bodies.

*B. High Importance / Strong Impact.* According to the Methodology, the Operational Evaluation is carried out by the following bodies authorized for evaluation:

1) by the Administration of the President of the Republic of Kazakhstan - operational assessment of the CSA;

2) by the Office of the Prime Minister of the Republic of Kazakhstan - operational assessment of MDDIAI of the Republic of Kazakhstan;

3) CSA - operational assessment of the CSB and LEB in the direction of "Personnel management";

4) ICRIAP RK - operational assessment of information systems of the Central Geographical Society and LEB in the direction of "Application of information technologies".

The named authorized bodies have a strong influence on the assessment of the performance of state bodies, since they directly conduct the assessment, have the authority and effective administrative resources, which determine their high degree of importance.

*C. Low importance/Low impact.* Local executive bodies are required to undergo an annual operational assessment of their activities in accordance with the Decree of the President of the Republic of Kazakhstan "On the System of Annual Evaluation of the Performance of Central State and Local Executive Bodies of Regions, a City of Republican Significance, the Capital".<sup>69</sup> LEB, are subject to an operational assessment, as evidenced by the 2019 assessment. At the same time, in the current assessment format, local executive authorities do not participate in the development of operational assessment criteria for the "Organizational Development" block, while it is civil servants at the local level that directly work with civil society, and the assessment of the state apparatus by society depends on the level of their competencies and services provided. This block presents certain risks, if you do not pay attention to the methodological support of the assessment in terms of the selection of criteria and indicators, as well as taking into account their share in the final assessment.<sup>70</sup>

Based on the results of the assessment, 1 LEB achieved a high degree of efficiency on organizational development, which is 5.8% of the total number of LEBs. 11 LEBs showed average efficiency in this area (64.7%). 3 LEBs demonstrated low degree of efficiency - 17.7%. 2 LEBs showed an ineffective result, which is 11.8% of the total number of LEBs.

*D. Low importance / Strong influence.* CSBs are required to undergo an annual operational assessment of their activities in accordance with the Decree of the President of the Republic of Kazakhstan "On the System of Annual Evaluation of the Performance of Central State and Local Executive Bodies of Regions, a City

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<sup>69</sup> Decree of the President of the Republic of Kazakhstan of 2010 No. 954 "On the System of Annual Evaluation of the Performance of Central State and Local Executive Bodies of Regions, a City of Republican Significance, the Capital"

<sup>70</sup> Report on the assessment of the effectiveness of state bodies for 2018. - Centre for assessing the effectiveness of government agencies.



of Republican Significance, the Capital". CSBs such as CSA and MDDIAI are authorized for the assessment in their area of activity and conduct operational assessments in the areas of the Organizational Development block, therefore they have a small degree of influence and importance. The rest of the CSBs are objects of operational assessment, and therefore have little impact on the format of the assessment. CSOs form state policy in their field of activity and have integrated information systems on their balance sheet.

Based on the results of the assessment for the 2019 reporting year, 1 CSB reached high degree of efficiency in the direction of organizational development, which is 6.2% of the total number of CSBs. 10 CSBs showed average efficiency in this area (62.5%). 2 CSBs demonstrated low efficiency (12.5%). 3 CSBs had an ineffective result (18.8% of the total number of assessed CSBs involved in the assessment<sup>71</sup>) on the organizational development of state bodies.

*Conclusions from the analysis Matrix Important/Influence:*

1) Analysis of the Matrix important and influence of stakeholders in the construction of the matrix revealed that the civil servants themselves, despite the fact that they are the direct implementers of state policy, determine the formed organizational culture of the state body, the effectiveness of the state body, the success of the use of information technologies, at the same time, they have a weak influence on the formation of an assessment of the state body's performance and civil servants. In order to increase the objectivity of the assessment process, the development of key indicators and criteria should be based on taking into account the views of a wide range of civil servants (central and local levels of government), as well as rely on the regulatory framework.

2) In world practice, individuals and groups of civil society persons are voluntarily engaged in various forms of public participation in assessing the performance of state bodies and act on the basis of common interests, objectives and values consistent with the goals of the public administration system. This format of participation can be based on opinion polls, studies, observations, etc., where the population could offer criteria for evaluating activities or also give a real assessment of the performance of civil servants and state bodies.

3) Analysis of compliance with the optimal balance of powers, resources and responsibility between the levels of government of the Republic of Kazakhstan (Administration of the President - Government - CSB - LEB), led to the fact that, under the current Assessment System, the main focus of powers is assigned to the chain of Administration of the President - Government – CSB. At the same time, LEB, being the main level of power, directly dealing with the problems of the population and on the success of which the overall assessment of the society of the success of the reforms in the regions depends on, has dropped out of this balance chain. Local executive bodies have limited opportunities to participate in the formation of the assessment policy of state bodies and adjust their functions and

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<sup>71</sup> Report "Analysis of the results of assessing the effectiveness of state bodies for 2019 in the context of assessment blocks." - LLP "Centre for Research, Analysis and Performance Evaluation", 2020.

powers, as well as to redistribute resources depending on the current situation, including within the framework of the human resource management strategy. Local authorities are left alone with the problems of the territories, but the local authorities have few opportunities to solve them.

4) The current assessment system for the "Organizational Development" block, in our opinion, should be simplified, since a significant amount of working time and document circulation of civil servants is directed to the constant formation of business processes related to assessment, which leads to the formalization of the very idea of assessment in state bodies and for the previous 10 years of assessments, are brought into a routine process, and not to the real processes of organizational development of state bodies.

5) Organizational Development Assessment can be used as a basis for self-assessment and monitoring of an organization to measure its progress and development over time, based on the experience of the European CAF assessment system. Thus, organizational development assessment is an important part of the internal capacity building process, which helps the organization to take responsibility for its own development.

Also, it is necessary to consider proposals for the interconnection of the system of assessing the state body and assessing the performance of each civil servant according to the assessed criteria in conjunction with wages according to the FPS, and take into account the assessment by blocks of assessment of state bodies separately for political and administrative civil servants.

The assessment of organizational development must be made comprehensive, in which the indicators should be related to each other and show a comprehensive picture of the state body, and not just priority areas. A factor analysis of the impact on the indicator and its changes with the definition of risk zones is necessary, since the same indicator is used both in central state bodies and in local executive bodies, which does not always show the real picture of the activities of state bodies.

### **3.3 Literature review and analysis of international experience**

In recent years, many domestic and foreign researchers confirm the fact of a direct relationship between the effectiveness and efficiency of the state bodies' performance on the level of organizational development of state bodies, its organizational culture and the behavior of civil servants.

And here a properly built assessment system is played an important role, which should not be overloaded with a multitude of assessment criteria and indicators, leading to bureaucratic procedures.

The assessment system should comply with the following principles: first principle - the system should be designed from simple to complex; secondly, the system should be applied not only in central state bodies, with a sufficient amount of human resources, but also in district akimats, where a small number of employees work in departments and where there are no released people; the third

principle is the impact of the assessment system on the corporate culture of organizations. These principles are necessary to minimize the bureaucratic procedures that inevitably accompany the implementation of any system<sup>72</sup>.

Changes in the quality of public services provided are directly influenced by organizational norms (culture). It is the behavior of employees serving the public that will directly affect the emotional perception of the service and the assessment of its quality. Therefore, it is important for the state not only to monitor the implementation of regulations, but also to monitor the informal norms that have developed in the provision of services. The experience of departments, the quality of services of which is traditionally highly rated, can subsequently be disseminated to other departments and organizations<sup>73</sup>.

Today in the world practice there are several levels of efficiency assessment. These are the effectiveness of the public administration system as a whole, the effectiveness of the government, the effectiveness of the state body, the effectiveness of the structural department (team), the effectiveness of the employee<sup>74</sup>.

A properly built organizational culture, a strategy for managing human resources in a state body, the possibility of increasing the professional competencies of civil servants, and effective organizational practices in a state body are played the main role in the effectiveness of the organizational potential of a state body.

The main directions of human resource management in public authorities are:

- social dialogue with society;
- decentralization and deconcentration;
- emphasis on standardization rather than control;
- introduction of programs for adaptation and modernization of knowledge and skills;
- introduction of autonomous budgets for wages;
- the dependence of wages on the efficiency of civil servants;
- simplification of tasks and jobs, remuneration system;
- flexible working hours<sup>75</sup>.

According to G. Bookert and D. Haligan, human resource management implies, first of all, an open communication channel of both management and subordinates, and tripartite interaction, where the main actor appears - the consumer of public services - society. Social dialogue is an indispensable attribute

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<sup>72</sup> Baymenov A.M. Twenty cases of the civil service of independent Kazakhstan. Source: <https://baigenews.kz/news/alikhan-baymenov-twenty-cases/>

<sup>73</sup> Kapoguzov E.A., Lapina T.A. The relationship between the organizational culture of state bodies and the quality of public services: methodological aspects // Vestn. Om. uni. Ser. "Economy". - 2018. - No. 1 (61). - S. 134-140. - DOI: 10.25513 / 1812- 3988.2018.1.134-140.

<sup>74</sup> Kapoguzov E.A., Suleimenova G.K. Assessment of the effectiveness of state bodies in the context of strategic management and organizational development in the Republic of Kazakhstan // Ars Administrandi (The Art of Management). 2017 Volume 9, No. 3. P. 452–475. DOI 10.17072 / 2218-9173-2017-3-452-475.

<sup>75</sup> Vasilyeva E.I., Zerchaninova T.E., Ruchkin A.V. Assessment of the effectiveness of civil servants. Management consulting. No. 4, 2016, pp. 14-26.

of civil service development, according to European researchers. Management by results is currently the most important tool for human resource management<sup>76</sup>, allowing you to build a system of employee motivation for effective performance<sup>77</sup>. According to H. Salem, performance assessment should be considered within the overall performance management system and presented as a process of quantitative assessment of the effectiveness and efficiency of actions<sup>78</sup>.

At the same time, according to K. Nomden, human resource management is a whole system of components, which implies, on the one hand, an emphasis on the needs of society and the civil servant as part of this society, on the other hand, it is an assessment of the effectiveness and comparability of the activities of a civil servant with the needs of the state. Accordingly, human resource management is reduced to optimizing this type of resources involved in the activities of the institution, and ensuring the quality of human resources in the interests of the institution and its employees, while observing the regulatory framework<sup>79</sup>.

Cohen Nomden, having studied the experience of implementing reforms in the European Union member states in the field of human resource management in the civil service, clarifies that modern personnel management in the civil service is based solely on the administrative paradigm - "body management", that is, a clear development of rules and standards. This situation is typical for most European countries, including France, Belgium, etc.

The effectiveness of public administration depends on the effectiveness of the professional activities of civil servants, on the quality of their activities to address the challenges facing the state. Realizing that the whole world is in the process of transformation caused by the development of digital technologies, including the public administration system<sup>80</sup>.

An organization can only be successful if it shows resilience in changing conditions, demonstrates the ability to manage change, or shows a high degree of adaptability to any changes<sup>81</sup>.

The speed of changes that are taking place in the field of information technology is very high and requires constant improvement of digital skills, and this applies to both the skills of obtaining and processing information using information technology, as well as the implementation of communications through various messengers. And here the paradox of using information technology comes,

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<sup>76</sup> Bouckaert G., Halligan J. *Managing Performance: international comparisons*. New York: Routledge, 2008.

<sup>77</sup> Clark G. *Performance Management Strategies*. *Strategic Human Resource Management: theory and practice*. London : Sage Publications, 2005. P. 318–341).

<sup>78</sup> Salem, H. (2003), *Organizational Performance Management and Measurement. The Lebanese Experience*, Beirut, Lebanon.

<sup>79</sup> Nomden K. L'évolution de la gestion des ressources humaines dans les administrations publiques de l'Union européenne // *Eipascopie*. 2000. N 1. P. 25–27; Васильева Е. И., Зерчанинова Т. Е., Ручкин А. В. Оценка эффективности деятельности государственных служащих. *Управленческое консультирование*. № 4, 2016, стр. 14-26.

<sup>80</sup> Karapetyan N.S., Kaunov E.N. Transformation of the competences of civil servants in the context of the development of digital technologies // *Creative Economy*. - 2020. - Volume 14. - No. 6. - S. 993-1010. - doi: 10.18334 / ce.14.6.110503.

<sup>81</sup> The use of information technology is a sign of the organization's adaptability to new conditions [http://saatchinstitute.com/src/assets/pdfs/MCTTRANSFORM\\_RAND.pdf](http://saatchinstitute.com/src/assets/pdfs/MCTTRANSFORM_RAND.pdf).

described by Brynjolfsson, which is to increase the number of employees despite the introduction of IT<sup>82</sup>. Although such an implementation would have to reduce the burden on employees and increase their productivity. The author offers several explanations, one of which is the lack of IT competencies among employees. Taking into account the speed of development of information technology, continuous improvement of such skills is required to use the full range of capabilities of technologies applied and applied in public service.

So, for example, the US Government Human Resources Office in the qualification of executive personnel "Result orientation" includes such competence as "Technical reliability", i.e. understands and appropriately applies the principles, procedures, requirements, rules and policies related to specialized knowledge, and in the qualification "Business acuity" - "Technology management" (Always up to date with technological developments. Effectively uses technology to achieve results. Provides access and safety technological systems)<sup>83</sup>.

The Covid-19 pandemic has become a trigger for many processes in the world, and, of course, the public administration system has not been left out. The need to make quick effective decisions in remote work conditions, an avalanche stream of requests from the population, business, state bodies required new approaches, and here the only solution was the accelerated mass digitalization of all possible processes in the civil service. Minister of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan B. Musin said that "the pandemic not only revealed the weaknesses of approaches to the provision of public and social services, but also showed the importance of digital technologies for solving many challenges ..."<sup>84</sup>.

#### *Assessment tools for public sector organizations in developed countries.*

Let's consider six examples of tools for assessing the capacity of public sector organizations<sup>85</sup>: Canada's Management Accountability Framework (MAF); US President's Management System - Agenda (PMA); assessment of the performance of the South Korean government; EU Overall Assessment - Program Framework (CAF); the UK Capacity Review Program; and the Australian Capacity Review.

While all of these instruments have been designed to improve the efficiency of the public sector, there are notable differences between their stated objectives. For example, the MAF and PMA<sup>86</sup> aim to improve governance<sup>87</sup>, while the South Korean government's performance assessment, the UK capacity review program

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<sup>82</sup> Brynjolfsson E. The productivity paradox of information technology. Communications of the ACM. 1993;36(12):66–77.

<sup>83</sup> <https://www.opm.gov/policy-data-oversight/senior-executive-service/executive-core-qualifications>

<sup>84</sup> inform.kz [https://www.inform.kz/ru/elektronnoe-pravitel-stvo-po-kakim-poziciyam-kazahstan-lidiruet-sredi-stran-sng\\_a3711430](https://www.inform.kz/ru/elektronnoe-pravitel-stvo-po-kakim-poziciyam-kazahstan-lidiruet-sredi-stran-sng_a3711430)

<sup>85</sup> K. Cox, St. Jolly. Understanding the Drivers of Organisational Capacity. www.rand.org. RAND Corporation, Santa Monica, Calif., and Cambridge, UK, 2018 RAND, p. 51

<sup>86</sup> President's Management Agenda (PMA). The President's Management Agenda: the Highlights of the CrossAgency Priority Goals. 2017.

<sup>87</sup> Bouckaert G, Halligan J. Managing performance: International comparisons: Routledge; 2007; Breul JD. Three Bush administration management reform initiatives: The president's management agenda, freedom to manage legislative proposals, and the program assessment rating tool. Public Administration Review. 2007;67(1):21–6.

and the Australian capacity review program focus on strengthening government capacity<sup>88</sup>, and the CAF aims to modernize government<sup>89</sup>.

Being assessed public sector bodies also differ across different instruments. Despite the differences, the tools have a number of things in common. For example, the implementation of all instruments, with the notable exception of the CAF system, is monitored and evaluated by central management, independent of the department or institution. In addition, assessment tools have a number of common components, such as resource management, financial management and performance management (Table 3.5).

The table lists the components included in the 12 capacity assessment frameworks identified during the literature review. This assessment is somewhat subjective, given that the terminology used, the description of the various components varies from system to system. For example, OCAT and CCAT do not directly refer to “culture”, but are considered to belong to this category, since “leadership” is a major component and is part of the definition of “culture”.

RAND's<sup>90</sup> research seeks to improve organizations' ability to measure their potential and leverage organizational culture to optimize performance. Public sector organizations around the world face a major challenge. On the one hand, their budgets are under pressure as public finances recover from the global financial crisis. On the other hand, they are required to achieve results in the face of changing social demographics, technological disruptions, fluctuating macroeconomic conditions and political changes. This raises an important question about how public sector organizations can maintain and develop their capacity to deliver services, products or values, and build resilience, when so much effort has been focused on cost reduction rather than capacity building. The main objectives of the research were to understand what are the dimensions of organizational capacity and how it is currently measured; in particular, consider how organizational culture and its criteria (collective beliefs, values, behavior, attitudes, norms, artifacts and symbols within the organization) affect the performance of the organization.

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<sup>88</sup> National Audit Office. Assessment of the Capability Programme. Comptroller and Auditor General; 2009; Yang S-B, Torneo AR. Government performance management and evaluation in South Korea: History and current practices. *Public Performance & Management Review*. 2016; 39(2):279–96.

<sup>89</sup> Engel C. Common Assessment Framework: the state of affairs. *Eipascope*. 2002;2002(1):1–5.

<sup>90</sup> K. Cox, St. Jolly. Understanding the Drivers of Organisational Capacity. [www.rand.org](http://www.rand.org). RAND Corporation, Santa Monica, Calif., and Cambridge, UK, 2018 RAND, p. 51

**Table 3.5 - Elements included in the capacity assessment framework**

	Management of accountability system	In the field of presidential administration	Evaluating government performance	General rating system	Potential review (analysis) (UK)	Potential Review (Analysis) (Australia)	UNDP Potential assessment	EuropeAid Institutional appraisal	ADB Potential assessment	McKinsey OCAT	MCF Potential assessment	TCC CCAT
	Canada Government sector (GS)	USA	South Korea GS	The EU	Great Britain	Australia GS (developed)	No data GS	Gene. EU Development and Cooperation Directorate	No data	No data Non-profit	No data Non-profit	No data Non-profit
<b>Culture</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>Strategy</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
<b>Member/ management</b>	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
<b>Skills</b>		✓			✓	✓	✓		✓	✓	✓	✓
<b>Human capital</b>	✓	✓	✓	✓	✓				✓	✓	✓	
<b>Responsibility</b>	✓	✓	✓		✓		✓		✓		✓	
<b>Source</b>	MAF (2016)	PMA (2017)	Yang (2016)	EIPA (2017)	NAO (2009)	ASPC (2015a)	UNDP (2008)	EC (2005)	ADB (2008)	McKinsey (2013)	MCF (2017)	TCC (2017)

Source: K. Cox, St. Jolly. Understanding the Drivers of Organisational Capacity. [www.rand.org](http://www.rand.org). RAND Corporation, Santa Monica, Calif., and Cambridge, UK, 2018 RAND, p. 51

### 3.4 Analysis of the practice of assessing the performance of state bodies

Analysis of the practice of applying existing approaches and methods for assessing the effectiveness of state bodies in the area of "Personnel Management" showed that at the present time, the main approaches to creating a system for assessing the effectiveness of state bodies are on the way to being established and are largely borrowed from foreign practice of public administration, taking into account some of their adaptation to Kazakhstani conditions.

The criteria for the direction of "Personnel Management" are defined: human resources of the state body, labor organization, meritocracy and organizational culture, which include from 5 to 6 indicators.

Sources of information for the assessment of the block are: reporting information of state bodies and data from the automated electronic access system; monitoring data on the state of civil service personnel; data contained in technical reports on documents of information systems of state bodies uploaded to the architectural portal; results of electronic survey of civil servants; results of rechecking activities.

The objects of the study are the central state bodies (hereinafter - CSB) and local executive bodies (hereinafter - LEB) and their activities in the provision of public services for the period: from 2016 to 2019. (table 3.6).

Table 3.6 - Assessment results for the "Organizational development" block

<i>CSB</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>
1. MJ	67	74,6	85,7	92,9
2. ME	76	83,6	85,5	88,7
3. ACSA			88,6	87,7
4. MISD			52,6	84,4
5. MF	76	68,7	77,9	79,8
6. MEGNR			-	78,5
7. MLSPP		78,8	89,9	78,0
8. MIID	74	58,7	62,0	76,3
9. MNE	80	58,0	80,1	74,9
10. MA	79	59,1	65,1	73,9
11. MDDIAI			84,0	71,7
12. MH		72,6	56,0	62,7
13. MFA	70	67,6	39,5	52,9
14. MES	52	59,9	74,8	47,1
15. MCS	81	67,8	56,8	43,8
16. MTI			-	42,5
<i>ACSAandAC</i>	80	78,5	88,6	



<i>MHSD</i>	66			
<i>MIC</i>	76	81,6	71,8	
<i>MRACS</i>	55	74,8		
<i>MDAI</i>	54	54,7	84,0	
<i>MIO</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>
1. Almatinskaya	86	73,9	41,1	92,2
2. EKO	75	83,2	89,8	89,3
3. Kostanayskaya	72	54,0	56,8	87,1
4. Almaty c.	76	85,1	96,2	86,1
5. Kyzylordinskaya	80	83,3	91,6	84,9
6. Karagandinskaya	75	80,1	80,5	82,1
7. Atirauskaya	54	76,6	85,1	78,8
8. NKO	86	70,0	79,9	78,6
9. Zhambylskaya	74	52,0	64,9	75,8
10. Turkestanakaya			59,5	72,4
11. WKO	80	61,3	64,8	70,6
12. Nur-Sultan c.	75	73,3	66,3	70,6
13. Pavlodarskaya	73	50,0	50,7	69,5
14. Aktyubinskaya	71	46,3	64,8	67,9
15. Akmolinskaya	81	63,0	43,1	63,8
16. Mangistauskaya	77	56,9	49,2	47,1
17. Shymkent c.			75,2	45,0
<i>SKO</i>	67	84,1		
Source: Evaluation of the effectiveness of the state body, 2016, 2017, 2018, 2019. - Center for assessing the effectiveness of state bodies, LLP "Center for Research, Analysis and Evaluation of Effectiveness", 2020. Note: compiled by the authors				

As shown by the analysis of the data in Table 3.6, stable improvements in organizational development over the years are shown by 3 CSBs: the Ministry of Justice, the Ministry of Energy, the Ministry of Finance, and 2 LEBs: Akimats of East Kazakhstan and Karagandinskaya oblasts. At the same time, in 2019, the Ministry of Justice and the Almatinskaya oblast proved to be highly effective in organizational development. In general, other CSBs and LEBs have tendencies to improve organizational development, but not on an ongoing basis. The internal processes are negatively influenced by the facts of reforming state bodies and creating new SB, where the organizational culture of the state body is being re-formed. For example, MEGNR and MTI are newly created state bodies and were not subject to assessment for 2018. Also, for some CSBs and LEBs, there is no assessment due to the reform. A slight decrease is observed in many CSBs and LEBs, in terms of areas of personnel management and the use of information technology.

Assessment results for the block. The average score of the assessment for the block among the CSBs was 70.98 points, which is 0.36 points lower than the result of

2018 (71.34 points), for the LEBs - 74.23 points, which is 6.02 points higher than the result of 2018 (68.21 points).

Among the CSBs, the MJ (92.85 points) demonstrated highly effective activity in the block, which is due to high performance in all three criteria of personnel management: "Human resources of a state body", "Labor organization", "Meritocracy and organizational culture".

Also, within the framework of the assessment, the maximum results were obtained according to the criteria: "Filling the architectural portal", "Integration of information systems of state bodies", "Relevance of information contained in information systems and databases", there are also no unused IS and databases.

The ineffective performance of MTI (42.54 points) is primarily associated with a high level of net turnover of personnel (7.9%), a low level of involvement of high-quality personnel (17.58%), and a lack of strategic personnel planning in a state body.

Also, the issue of integration of the Ministry's IS has not been worked out, there is a poor work on updating the information contained in the IS and databases.

The highest mark for the block among LEB was received by the Akimat of Almatinskaya oblast (92.22 points), which is due to the high level of training coverage for civil servants (100%), adherence to the principle of gender equality in appointment to leadership positions (41%). The transparency of the competitive procedures is also noted, and video recording of the interview processes is additionally carried out. In addition, full coverage of exit interviews of leaving civil servants was ensured (100%).

There is a high degree of filling the architectural portal and automation of functions by a state body. At the same time, according to the available three information systems, the level of information updating is 100%.

The last place in the rating among LBEs was taken by the akimat of Shymkent c.(45.04 points), which lacks strategic personnel planning. Competition procedures are recorded with the help of video equipment selectively, the information system "E-kyzmet" is used at a low level.

Also, there are no IS on the balance sheet of the akimat, and therefore, it was not possible to assess the integration of IS and the degree of relevance of the data. In addition, out of 91 functions to be automated, only 9 have been completed.

Table 3.7 - The results of the assessment of the CSB and LEB in the context of the direction "Personnel management"

<i>Nº n/n</i>	<i>Name of the CSB</i>	<i>«Personnel management»</i>	<i>Name of the LEB</i>	<i>« Personnel management »</i>
1.	MJ	87,72	Almatinskaya obl.	85,91
2.	ME	80,32	EKO	81,91
3.	ACSA	86,98	Kostanayskaya обл.	93,37
4.	MISD	70,3	Almaty c.	83,11
5.	MF	81,72	Kyzylordinskaya obl.	85,85
6.	MEGNR	72,7	Karagandinskaya obl.	71,93
7.	MLSP	78,34	Atiraukskaya obl.	78,08
8.	MIID	77,26	NKO	83,36
9.	MNE	80,75	Zhambylskaya obl.	81,22

10.	MA	76,8	Turkestanakaya obl.	76,9
11.	MDDIAI	76,83	WKO	82,4
12.	MH	74,29	Nur-Sultan c.	91,34
13.	MFA	72,12	Pavlodarskaya obl.	82,83
14.	MES	67,8	Aktyubinskaya obl.	78,08
15.	MCS	74,61	Akmolinskaya obl.	80,27
16.	MTI	73,04	Mangistauskaya obl.	86,02
17.			Shymkent c.	83,2
<i>Average</i>		<i>76,97</i>		<i>82,69</i>
Source: LLP " Center for research, analysis and efficiency evaluation ", 2020.				
Note: compiled by the authors				

Analysis of Table 3.7 shows that the average value of the assessment for "Personnel Management" for the CSB was 76.97 points (in 2018 - 79.99 points), for the LEB - 82.69 points (in 2018 - 87.82 points).

Among the CSBs, the highest points in the direction were received by MJ (87.72 points), ACSA (86.98 points) and MF (81.72 points). Akimats of Kostanayskaya oblast (93.37 points), Nur-Sultan city (91.34 points) and Mangistauskaya oblast (86.02 points) received the highest points among LEB. The high rates of assessment are due to the low level of staff outflow, adherence to the principle of gender equality, full coverage of training for civil servants, and career advancement within state bodies.

The MES (67.8 points), MISD (70.3 points), MFA(72.12 points) showed low assessment rates among the CSBs , the lowest assessment results among the LEBs were noted in the Akimats of Karagandinskaya oblast (71.93 points), Turkestanakaya (9 points), Atyrauskaya (78.08 points) oblasts. This is due to the high level of staff outflow, instability of the staff, the lack of strategic personnel planning within state bodies.

*Analysis of the assessment results in terms of criteria.*

Assessment according to the criterion "Human resources of the state body". The criterion assesses the net staff turnover in state bodies, the stability of the staff, the results of the exit interview, the gender and quality composition of the staff.

The average value according to the criterion among the CSBs was 17.18 points out of 30 possible, according to the LEB - 17.24 points.

Assessment according to the criterion "Labor organization". The assessment of state bodies according to this criterion was carried out according to the following indicators: standardization of labor, satisfaction with working conditions, management practices, training of civil servants, strategic personnel planning and the use of the "E-kyzmet" system.

The average value according to the criterion was 28.16 points out of 30 possible, among the CSB - 27.15 points, the LEB - 29.11 points.

Assessment according to the criterion "Meritocracy and organizational culture". The assessment according to this criterion was carried out according to the following indicators: transparency of competitive procedures, observance of the principle of meritocracy, career growth, transparency of encouragement in a state body, ethics and relationships in the team.

The average value according to the criterion was 35.63 points out of 40 possible, among the CSB - 34.32 points, the LEB - 36.86 points.

According to the results of the assessment, there is an increase in the outflow of personnel from the civil service. Compared to 2018, the level of net staff turnover increased by 0.93 percentage points (from 6.77% to 7.70%).

The average value for the indicator decreased from 5.83 points to 3.85 points out of 10 possible, and a decrease also occurred among the CSB (in 2019 - 3.42 points, in 2018 - 5.59 points) and LEB (in 2019 - 4.25 points, in 2018 - 6.05 points).

The high level of staff outflow signals the lack of ability of state bodies to meet the needs and expectations of their employees. Thus, the staff outflow in 2019 was 7.7%, in 2018 - 6.77%, in 2017 - 7%, while the indicators are at the peak of the threshold set by the Presidential Administration (7%).

To identify the reasons for staff turnover, exit interviews are conducted with the leaving employees. Despite the large-scale coverage of interviews (2019 - 97.96%, 2018 - 97%, 2017 - 82%), the results obtained are not analyzed properly, which would reduce staff churn.

Also, the threat of staff outflow is signalled by the level of job satisfaction among civil servants, which has been declining for the third year in a row (2019 - 87.69%, 2018 - 93.21%, 2017 - 90%). At the same time, in the LEB, the satisfaction of civil servants with their work is higher (91.45%) than in the CSB (87.28%), which correlates with the level of staff outflow at the central and local levels (LEB - 7.42%, CSB - 8%).

The experience of the functioning of the public administration system and the organization of work of civil servants during the Covid-19 pandemic has changed the format of personnel practice that was used in state bodies (teleworking, flexible working hours, the use of digital solutions when recruiting to the civil service), plans and possible problems. Therefore, there is a need to change the criteria in the direction of "Personnel management", so, for example, the criterion "Normalization of labor" can be adjusted in criterion according to the new system of calculating working hours in the format of remote operation.

Table 3.8 - The results of the assessment of the CSB and LEB in the context of the direction "Application of information technologies"

<i>№</i>	<i>CSB</i>	<i>Total score</i>	<i>LEB</i>	<i>Total score</i>
1	MISD	98,55	Almatinskaya obl.	98,53
2	MJ	97,98	EKO	96,69
3	ME	97,04	Karagandinskaya обл.	92,26
4	ACSA	88,45	Almaty c.	88,99
5	MEGNR	84,23	Kyzylordinskaya obl.	83,92
6	MF	77,78	Kostanayskaya obl.	80,9
7	MLSPP	77,63	Atiraukskaya obl.	79,5

8	MIID	75,34	NKO	73,83
9	MA	70,97	Zhambylskaya obl.	70,44
10	MNE	69,04	Turkestanaskaya obl.	67,92
11	MDDIAI	66,57	WKO	58,88
12	MH	51,09	Aktyubinskaya obl.	57,74
13	MFA	33,7	Pavlodarskaya obl.	56,17
14	MES	26,31	Nur-Sultan c.	49,79
15	MCS	12,89	Akmolinskaya obl.	47,26
16	MTI	12,04	Mangistauskaya obl.	8,21
17			Shymkent c.	6,87

Source: LLP " Center for research, analysis and efficiency evaluation ", 2020.

Note: compiled by the authors

According to the results of the assessment for the 2019 reporting year, 3 CSBs (MISD, MJ, ME) achieved a high degree of efficiency in the area of "Application of information technologies", which is 18.75% of the total number of CSBs. 6 CSBs (ACSA, MEGNR, MF, MLSP, MIID, MA) showed an average degree of efficiency in this area (37.5%). 3 CSBs (MNE, MDDIAI, MH) demonstrated a low degree of efficiency (18.75%). 4 CSBs (MFA, MES, MCS, MTI) had an ineffective result (25% of the total number of estimated CSBs) in the use of information technologies.

According to the results of the assessment, 3 LEBs (akimats of Almatinskaya oblast, East Kazakhstan, Karagandinskaya oblasts) achieved a high degree of efficiency in the use of information technologies, which is 17.65% of the total number of LEBs. 6 LEBs (akimats of Almaty c., Kyzylordinskaya oblast, Kostanayskaya, Atyrauskaya, North Kazakhstan, Zhambylskaya oblasts) showed an average degree of efficiency in this area (35.29%). 4 LEBs (Akimats of Turkestanaskaya, WKO, Aktyubinskaya, Pavlodarskaya oblasts) demonstrated a low degree of efficiency - 23.53%. In 4 LEBs (Akimats of Nur-Sultan c., Shymkent c., Akmolinskaya, Mangistauskaya oblasts) an ineffective result was revealed, which is 23.53% of the total number of LEBs.

The highest scores among the CSB were received by MISD (98.55), MJ (97.98) and ME (97.04). The efficiency of their work is due to the high rates of automation of the functions of these state bodies, the high level of relevance of the information contained in information systems, as well as the filling of the architectural portal.

The lowest scores were received by the MFA (33.7), MES (26.31), MCS (12.89) and MTI (12.04). Thus, in the Ministry of Foreign Affairs a low level of filling of the architectural portal is noted. Due to the lack of information systems on the balance

sheet, the MCS has a low result in this area. MES and MTI showed a low level of automation of activities.

Among the LEB, the leading positions are occupied by the akimats of Almatinskaya (98.53), East Kazakhstan (96.69) and Karagandinskaya (92.26) oblast, which is explained by the high quality of work with the architectural portal, the high level of automation of functions and the relevance of information contained in information systems.

The lowest rates were observed in the akimats of the city of Nur-Sultan (49.79), Akmolinskaya (47.26), Mangistauskaya (8.21) oblasts and the city of Shymkent (6.87). One of the reasons for the low assessment of the above akimats is the placement of an incomplete package of documents and the necessary information about information systems on the architectural portal. Akimats of Nur-Sultan c. and Mangistauskaya oblast have a low result in this area due to the presence of unused information systems and databases on the balance sheet. In addition, the akimat of the Mangistauskaya oblast has ineffective activities in this area due to the low relevance of information contained in information systems. It is also worth noting that in the akimats of Akmolinskaya, Mangistauskaya oblast and Shymkent c., there is a low level of automation of functions. In addition, the Akimat of Shymkent c. showed a low result due to the lack of information systems on the balance sheet.

As it can be seen, not all state bodies achieve the goal of their performance assessment - to stimulate internal factors to increase the efficiency of state body. This situation is resulted because of the influence of various factors:

- lack of qualified IT specialists, especially in the regions;
- inability of performers to use the architectural portal;
- lack of responsibility for low indicators;
- lack of a differentiated approach to assessment.

The lack of qualified IT specialists is observed in many state bodies, especially where the staffing level is small. At the same time, the akimat of Nur-Sultan c., having a sufficient staffing level, high salaries (a pilot project for the implementation of FPS) has low scores, which is more likely due to the lack of responsibility of managers based on the assessment results.

Performers are most often not trained in the skills of using an architectural portal, which leads to difficulties in working with it and, accordingly, to internal resistance.

The Methodology does not take into account the specifics of state bodies, some state bodies do not have information systems on their balance sheets, some are not included in the integration plan, for which they receive “0” points, which rather leads to demotivation, the nature of the functions of state bodies is not taken into account, can they be automated at all etc.

Thus, the analysis of the practice of applying the current approaches and methods for assessing the effectiveness of the activities of state bodies showed that:

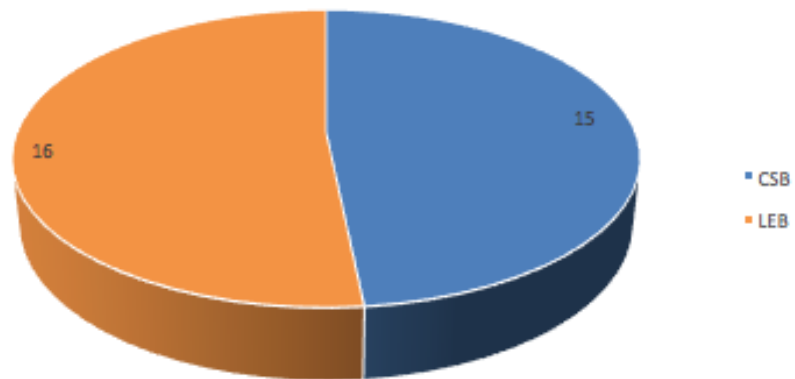
- 1) the indicators used do not fully stimulate the CSB and LEB for their strict implementation in order to improve the organizational development of state bodies;
- 2) there is a need for an independent assessment, reconciliation of statistical data with the real picture with the involvement of independent audit services, updating of

the big-data analysis, improving the methodology taking into account new realities, including the coronavirus pandemic.

In general, it can be noted that the weaknesses in assessing the effectiveness of state bodies and local executive bodies are: weak focus on results; undeveloped organizational culture of state bodies; insufficient institutionalization; lack of publication of individual assessment results in the media and on the Internet resource of the service provider.

In order to analyze the practice of applying the current approaches and methods for assessing the effectiveness of the activities of state bodies by blocks of assessment, the project team conducted an expert survey of civil servants, including heads of structural divisions of SB with at least 10-15 years of experience in state bodies, in order to obtain information at first hand.

The study included conducting online interviews using online and telephone survey of experts (*16 employees of central state bodies, 15 local executive bodies*) with more than 15 years of experience in the public sector, including heads of structural divisions of state bodies. (Figure 3.3)



Note: compiled by the authors

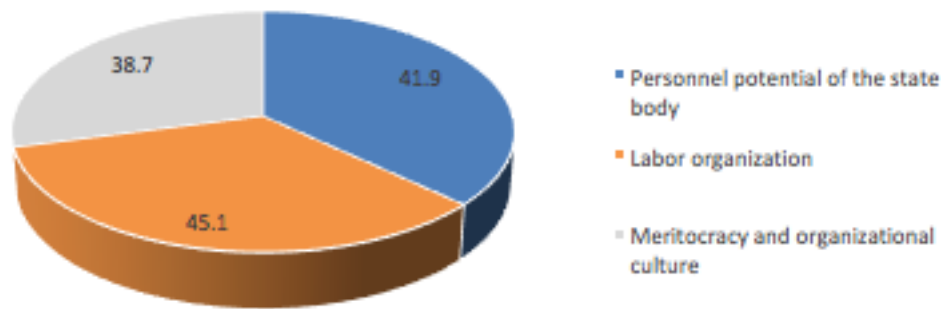
Figure 3.3. Distribution of experts by organization status

The distribution of experts according to the affiliation of their department to central state bodies (hereinafter CSB) and to local executive bodies (hereinafter LEB) showed a ratio close to equal.

28 questions were formulated, of which 5 questions on the block "Personnel management", which helped to identify both the positive results of assessing the effectiveness of activities, and negative factors.

*Determination of criteria that do not disclose the effectiveness of the Assessment in the "Organizational development" block*

Answering the question "Define the criteria in which, in your opinion, the calculation indicators do not reveal the effectiveness of the Assessment in the "Organizational development" block? Why? ", the following responses were received.



Note: compiled by the authors

Figure 3.4. Criteria that do not disclose the effectiveness of the assessment

In the first place, according to experts, is the labor organization criterion (45.1%), in the second place is the personnel potential of the state body (41.9%), in the third - meritocracy and organizational culture (38.7%).

Experts see the reasons for the ineffectiveness of the Assessment criteria for the "Organizational development" block in the fact that the principles of meritocracy are not always observed. In particular, the assessment of compliance with the principles of meritocracy is carried out on the basis of survey data, which mainly reflects not objective factors, but a subjective attitude. True meritocracy is rare. Basically, the results of competitions for vacant positions are known in advance.

The problematic points are also the incorrect division of work according to functional tasks and the frequent turnover in the state body, which does not depend on the head, since the labor payment in the civil service is not competitive in the labor market. Having gained experience in a state body, specialists move to the private sector, where labor payment is much higher.

The respondents in the formula for calculating the indicator "*Qualitative composition of personnel*" are proposed to supplement the numerator with "the number of civil servants who graduated from top foreign universities, with the exception of graduates of the Bolashak program." Due to the widespread use of remote work in the context of the Covid-19 pandemic, it is reasonable to consider the indicator "Normalization of work" as irrelevant.

In the formula for calculating the *indicator "Training of civil servants"* it is proposed to exclude the link to the allocated budget funds. The law "On the civil service of the Republic of Kazakhstan" establishes the terms of compulsory training of civil servants, in connection with which appropriate funding for this must be provided.

*The indicator "Use of the e-kyzmet system"* calculates the number of documents generated in the system per employee. However, in the LEB of the capital and cities of republican significance, in comparison with the LEB of oblasts, the number of documents is less due to the absence of business trips within the region. In addition, there are state bodies where this system is not installed. Experts consider it relevant to calculate the share of documents generated in the system in automatic mode from the total volume of created personnel documents in paper form.



According to the indicator "*Transparency of tender procedures*", it is proposed to introduce penalty points for each case of violation of tender procedures, confirmed by the results of the audit.

Assessment of the indicator "*Management practices in a state body*" according to the criterion "Labor organization".

When asked "does the indicator "Management practices in a state body" according to the criterion "Organization of labor" reveal the effectiveness of organizational and managerial activities in a state body?", 35.4% of respondents believe that it discloses, 22.6% believe that the indicator is incorrectly formulated, 12.9% answered that they did not disclose. Found it difficult to answer - 29%. The distribution of experts' answers is shown in Figure 3.5.



Note: compiled by the authors

Figure 3.5. Effectiveness of the indicator "Management practices in a state body"

According to experts, most of the indicators are derived on the basis of survey data, which reflects not the real picture, but the attitude of the respondents.

At the same time, the indicator of normalization of labor is calculated on the basis of data from the access control system, which does not always reflect the actual state of affairs.

The respondents propose to evaluate the use of the E-kyzmet system only in terms of the number of documents processed in automatic mode, not bringing the number of executed documents per one civil servant to nine due to working conditions in a pandemic mode.

*Assessment of indicators according to the criterion "Meritocracy and organizational culture"*

Assessing the importance of indicators in assessing the effectiveness of state bodies according to the criterion "Meritocracy and organizational culture", experts noted ethics and relationships in the team (83.8%), transparency of competitive procedures (77.4%), transparency of reward in a state body (74.1%), career growth (67.7%). The distribution of the respondents' answers is shown in the table.

Table 3.9 - The importance of indicators according to the criterion "Meritocracy and organizational culture"

Criterion / Answer	Very important	Quite important	Not very important	It doesn't matter at all
Transparency of tender procedures	77.4	16.1	6.45	-
Compliance with the principles of meritocracy	70.9	25.8	-	3.2
Career growth	67.7	25.8	6.45	-
Transparency of incentives in a state body	74.1	22.6	-	-
Ethics and relationships in the team	83.8	9.6	3.2	3.2
Note: compiled by the authors				

Commenting on this issue, the experts expressed their opinion on the need for quantitative indicators showing the level of compliance with these principles from the total staffing.

Also, respondents note the expediency of meritocracy. This is primarily due to the motivation of civil servants. A specialist who knows the potential for growth can plan for the future, set goals and strive to achieve them.

When assessing the criterion Meritocracy and organizational culture, the transparency of the competitive procedures carried out is very important. If the competitions are fair, really strong specialists and managers will appear. Even the size of salary plans fades into the background compared to fair selection.

The transparency of competitive procedures ensures citizens' confidence in public service. The transparency of incentives in a state body excludes corruption violations. Compliance with the principles of meritocracy provides an incentive for the work of existing civil servants. Career growth is not as important as job stability. Ethics and relationships in the team enhance the image of the public service.

At the same time, experts note that observers can only comment orally or in writing on the violation of the procedure for interviewing candidates. At the same time, they do not participate in the other stages of the competition (admission of participants to the competition, determination of the winner based on the results of the competition). Thus, transparency of decision-making based on the results of the competition is not achieved. The indicator "Career growth" encourages the promotion of employees of the state body itself, which held the competition for a higher position. Thus, this assessment contributes to the promotion of "their" employees, while meritocracy presupposes the promotion of the worthiest.

*Assessment of the need to bring the indicator "Strategic workforce planning" into the main indicator.*

Expressing an opinion on the derivation of the indicator "Strategic personnel planning" according to the criterion "Labor organization" from the bonus indicator to

the main indicator and its impact on the gaps of state bodies associated with the lack of a human resource management strategy, the opinion of experts was divided.

Some believe that it will not affect, since, in general, state bodies are not interested in the results of the assessment and the work of the personnel service is regulated by the Law on Civil Service.

Others are inclined to believe that it will have a positive impact, since even a simple strategy is better than none. In addition, the organization of labour affects labour productivity and depends on other indicators: staff turnover, organizational structure, etc.

At the same time, before transferring from the bonus to the main indicator, experts advise to study the working climate of a particular state body, conduct research and start with a pilot regime.

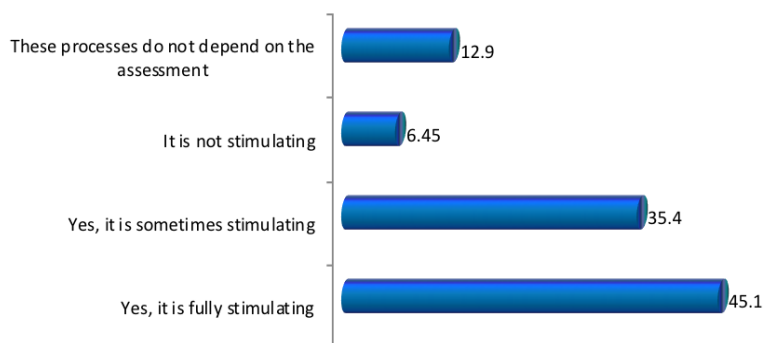
Arguing in an interview about the modern assessment methodology in the direction of "Application of information technology" and its impact on improving the efficiency of public administration in the Republic of Kazakhstan, experts also hold a polar opposite opinion.

The former believe that the methodology does not affect the effectiveness of public administration, since, despite the existence of the criterion "integration of information systems of state bodies", the integration process itself is extremely slow and mainly not at the initiative of the state bodies themselves, but on instructions from above. In addition, the assessment does not imply the quality of the systems themselves, architecture, software, content and use of databases.

The latter point out a positive impact, since the methodology motivates state bodies to more actively use information technologies. At the same time, it is proposed to build a system in which work in new information systems will not increase the burden on employees, but, on the contrary, will reduce it and increase the openness of the state body. In this regard, it is possible to additionally evaluate state bodies that have introduced new approaches to management, which have increased the efficiency of work.

In general, experts believe that the methodology encourages state bodies to automate their functions, which increases transparency, efficiency in performing functions, and reduces costs in human resources.

According to the answers to the question "Does the assessment methodology affect information integration between state bodies?", almost half of the respondents (45.1%) believes that the assessment methodology in the direction of "Application of information technologies" stimulates information integration between state bodies, as well as the very use of information technologies in the public service. 35.4% of the respondents are inclined to believe that it stimulates in some cases, 12.9% note that these processes do not depend on the assessment. Only 6.45% answered that the methodology does not stimulate information integration between state bodies.



Note: compiled by the authors

Figure 3.6 -Impact of the assessment methodology on information integration between state bodies

In general, the preliminary results showed that the practice of conducting an annual assessment of the activities of state bodies has its positive results. It actively supports the reform to increase the transparency of state bodies, improve organizational development, accessibility and quality of government services, eliminate corruption risks and increase citizens' confidence in state bodies.

Experts in their comments on this issue, note that often state bodies are not interested in integration, not wanting to provide the information resources they have. The use of information technology in the civil service is not driven by a desire to improve assessment results, but by necessity.

For additional incentives, respondents are encouraged to provide additional points for the integration of existing information systems in a state body during the assessment. It is proposed to replace the denominator in the formula with “the number of required integration interactions”.

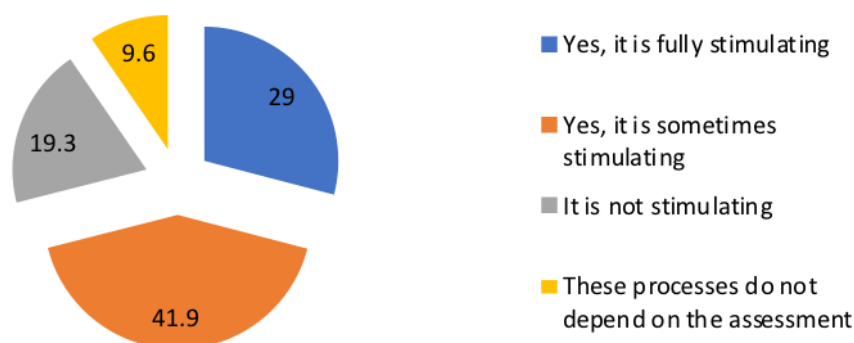
The influence of the assessment methodology in the direction of "Application of information technologies" on the process of constant replenishment and updating of data is assessed by the respondents rather optimistically. 41.9% of the respondents believe that these processes stimulate in some cases, 29% considered that the assessment methodology is fully stimulating. Only 19.3% answered that the methodology does not have a stimulating effect on the process of constant replenishment and updating of data. 9.6% of the respondents called these processes independent of the assessment.

However, the reliability of the results of assessing the effectiveness of the activities of state bodies depends on the reliability and quality of the reporting information that they provide to the authorized state bodies for the assessment.

With the help of the "Problem Tree" method, a real overview of the problems of assessing the effectiveness of the activities of state bodies in the "Organizational Development" block was compiled by identifying the main causes and their most important consequences. It should be noted that the data of the Center for Evaluation of the Effectiveness of the Activities of Government Bodies ([www.bagalau.kz](http://www.bagalau.kz)).

As can be seen from Figure 18, we have identified the main problem "Distimulation of internal factors to increase the efficiency of a state body," based on

the results of analysis, interactive discussion and exchange of views between members of the research group.



Note: compiled by the authors

Figure 3.7 - Degree of influence of the assessment method on the process of data replenishment and updating

Based on the analysis of regulatory legal acts and reports of the Center for Evaluating the Performance of State Agencies for 2017-2019, there were identified primary and secondary causes that negatively affect the organizational development of a state body, in terms of personnel management and the use of information technologies.

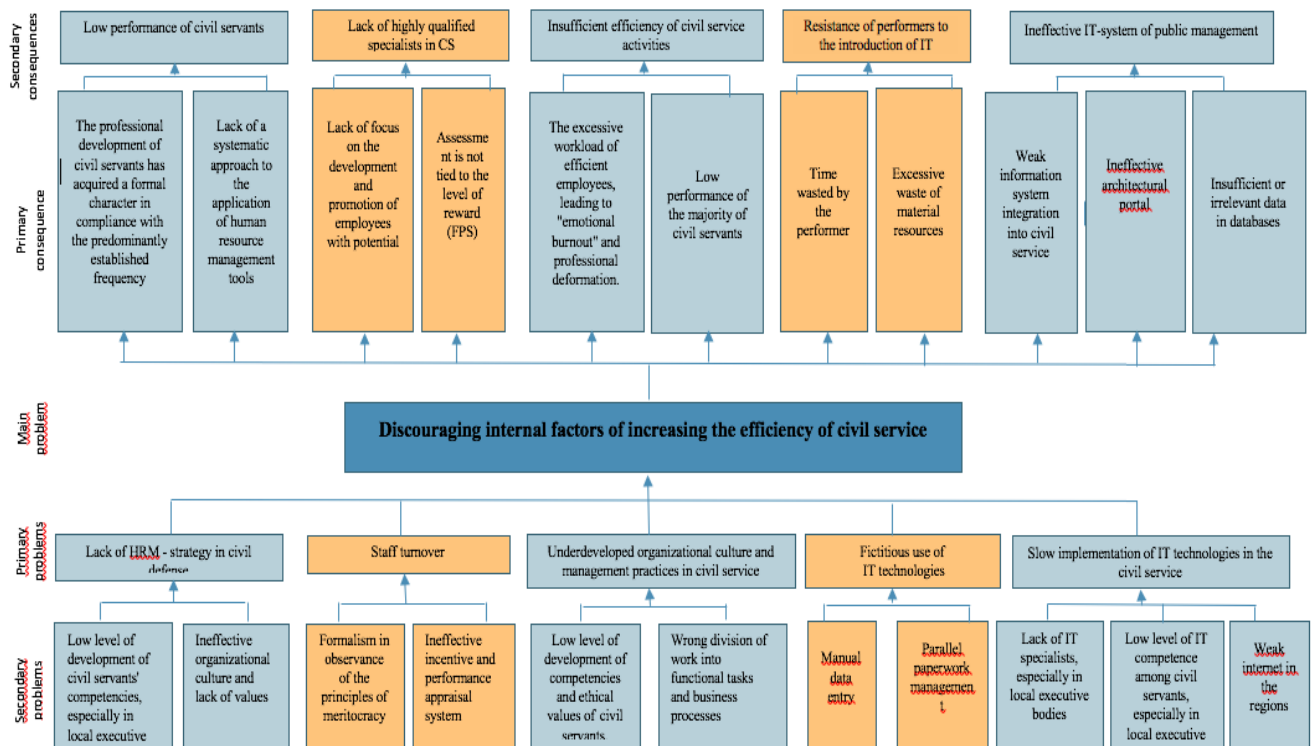
So, for example, the main problems in assessing the effectiveness of the activities of state bodies for personnel management include: the lack of a strategy for human resource management in state bodies, staff turnover and the underdevelopment of the organizational culture and management practices in state bodies.

At the same time, the reasons for these problems are:

- low level of competence of personnel of personnel management services and ineffective organizational culture and lack of values;
- formalism in the observance of the principles of meritocracy and an ineffective system of incentives and assessment of the activities of the SB;
- a low level of development of the competencies and ethical values of civil servants, especially at the level of local executive bodies, and an incorrect division of work by functional tasks and business processes.

As a result, the following negative factors are revealed:

- the professional development of civil servants has acquired a formal character with a primary focus on observing the established frequency;
- lack of a systematic approach to the use of human resource management tools;
- lack of focus on the development and promotion of employees with potential;
- the assessment is not tied to the level of remuneration (FPS);
- low performance of the majority of civil servants;
- workload of able-bodied employees, leading to "emotional burnout" and professional deformation.



Note: compiled by the authors

Figure 3.8 - Problem tree for the block "Interaction of the state body with individuals and legal entities"

In the direction of "Application of information technologies by state bodies", we have identified two main problems - the fictitious use of IT-technologies and the slow implementation of IT-technologies in the public service. The factors causing these problems, in turn, were:

- manual data entry;
  - duplication of electronic document circulation with paper;
  - Lack of IT specialists, especially in LEBs;
  - low level of IT-competencies among civil servants, especially in local executive bodies;
  - poor quality of the Internet in the regions.
- These problems lead to negative consequences:
- loss of time by the performer;
  - excessive waste of material resources;
  - weak integration of information systems of a state body;
  - ineffective architectural portal;
  - lack or irrelevance of data in the databases of state bodies.

Ultimately, all this leads to low efficiency of the entire information system of public administration.

Accordingly, these reasons give rise to negative consequences in the organizational development of state bodies. In subsequent studies, we will define

improved criteria and indicators that will qualitatively improve the operational assessment of the activities of state bodies in this area.

### **3.5 Analysis of criteria and indicators of the assessment methodology**

According to the Methodology<sup>91</sup> operational assessment, the assessment of the effectiveness of personnel management is based on statistical data and the results of rechecking the reports of state bodies, and the method of polling civil servants is also used.

The purpose of the survey is to identify the level of satisfaction of civil servants with their work activities, as well as to receive feedback from government officials. Along with the rest of the assessment criteria, the survey contributes to the formation of a holistic picture of strengths and weaknesses, shortcomings and prospects for the activities of state bodies in personnel management.

Further development of the assessment provides for systemic changes in the civil service in order to strengthen the principle of meritocracy. The personnel selection mechanisms provided for by the new law on the civil service are aimed at the consistent passage of civil servants through all management levels. Also, the approach to remuneration of civil servants is being completely revised according to the new system based on a factor-point scale, where the amount of salary will depend on the complexity of the work performed, the level of responsibility and contribution to the achievement of target indicators.

During the implementation of the assessment system, the focus was on the work process. Whereas in recent years, the trend has shifted towards measuring the final results of public administration. Indicators of the process, according to the results of which state bodies received the maximum points, are excluded from the methodology.

The results of the assessment system work allow us to conclude that the initial goal of building internal processes in state bodies has been practically achieved. The next step in the implementation of the system will be the transition from process assessment to results assessment. The emphasis on performance indicators should form the basis of a new assessment model.

This approach is fully consistent with the requirements for the modernization of public administration and has an important socio-political effect. The ultimate goal of the assessment is not only to improve governance mechanisms, but also to ensure that state bodies are held accountable to society.

The task of increasing the professionalization of the state apparatus is set in the Strategy "Kazakhstan-2050": New political course of the established state". Strategy 2050 defines the need to form a professional state apparatus for which serving the

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<sup>91</sup>Joint order of the acting Minister of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan dated January 27, 2020 No. 32 and the Chairman of the Agency of the Republic of Kazakhstan for Civil Service Affairs dated January 28, 2020 No. 25 "On Approval of the Methodology for Operational Evaluation of the Activities of State Bodies in the Block "Organizational Development of State organ ".

people and the state is paramount. Particular attention is paid to the professional development of civil servants in the Strategy 2025.

The Strategic Development Plan of the Republic of Kazakhstan until 2025, approved by the Decree of the President of the Republic of Kazakhstan No. 636 dated February 15, 2018, within the framework of the implementation of the priority "Modernization of consciousness in the public sector" set a large-scale task to increase the prestige of the public service.

In particular, it was determined that measures to form and promote the prestige of the civil service could be considered as taking measures to increase the competitiveness of the civil service in relation to work in the private sector, creating additional conditions for professional development throughout the entire career path, highlighting success.

Particular attention will be paid to the professional development of civil servants, including the development of advanced technologies and management techniques, the opportunity to participate in the development of innovative proposals, learn from competent leaders, train with the most successful experts, in the largest companies in the private and quasi-public sector.

At the level of the Strategic Plan of the Agency for Civil Service Affairs for 2017-2021, measures are identified to implement strategic direction 1 "Formation of a professional civil service system."

At the same time, in our opinion, additional measures are required for the high-quality and timely implementation of the specified provisions of the Strategic Plan 2025.

The information obtained during the analysis made it possible to comprehensively consider the existing problem areas in the civil service system at the following stages:

- adaptation of newly hired administrative civil servants;
- mentoring;
- professional development of civil servants;
- selection of civil servants;
- increasing the prestige and competitiveness of the civil service through the formation of an employer's value proposition;
- the importance of strategic planning and implementation of results-based management tools.

Evaluation of efficiency in the area of "Personnel Management" is carried out by the authorized body for civil service affairs according to the following criteria:

- 1) human resources of the state body;
- 2) labor organization;
- 3) meritocracy and organizational culture.

Assessment according to the criterion "Human resources of the state body" (K) is calculated using the following formula:

$K = C + S + V + G + P$ , where:

*C* - indicator "Net staff turnover" (leaving the civil service);

*S* - indicator "Stability of the staff";

*V* - indicator "Exit interview";



*G* - indicator "Gender composition";

*P* - indicator "Qualitative staff composition".

As you can see from this formula, the two indicators "Net staff turnover" and "Stability of the staff" are essentially similar, and perhaps the developers of the methodology could combine them into a single indicator.

The indicator of gender composition was introduced, which was absent in the previous methods. This indicator does not have a significant impact on human resources, but it may be appropriate to comply with the global trend and standards.

At the same time, in our opinion, the following concept corresponds to the most complete definition of human resources: "The combination of personal characteristics of personnel, their special knowledge, qualifications and experience, as well as potential opportunities that can be activated and used by the organization in the course of work."

Based on this concept, we can conclude that human resources should be determined not only by the turnover of personnel, but also by the level of qualifications and experience of personnel.

In this connection, we believe it is possible to supplement this criterion with such indicators as the number of civil servants who are subject to and passed retraining and advanced training courses, the correspondence of the courses studied to the main activities of the state body.

The criterion "Human resources of a state body" refers to the HRM subsystem - Human resources formation.

At the same time, such key functions of the subsystem as planning the need for human resources, selection are completely absent.

With regard to such a criterion as "Competence", some of its elements are present in the assessment. For example, the number of civil servants with a scientific degree and foreign education is estimated. However, training does not always guarantee the possession of skills, in connection with which skills should be taken into account, from proficiency in foreign languages to the possibility of using advanced information systems.

In addition, criterion 3 "Meritocracy and organizational culture" uses such indicator "Transparency of competitive procedures". It estimates the number of competitions held with the participation of observers from the total number of competitions held. However, firstly, it should be qualitatively revised in order to assess the competencies of applicants, their skills and the general level of the competition. Secondly, the indicator should be assessed within the framework of the subsystem - Human resource formation.

In general, it is recommended to use the entire toolkit of the subsystem when assessing a state body according to the criterion "Human resources of a state body".

As for the criterion "Organization of labor", then this criterion is determined by the following formula:

$$O = N + T + Y + S + U + E,$$

where, *N* - Indicator "Normalization of labor";

*T* - Indicator "Satisfaction with working conditions";

*Y* - Indicator "Management practices in a state body";

*S* - Bonus indicator "Strategic workforce planning";

*U* - Indicator "Training of civil servants";

*E* - Bonus indicator "Use of the E-Kyzmet system."

New indicators have been added to this criterion that were absent in the previous methodologies, 2017: "Strategic personnel planning", "Training of civil servants", "Use of the E-Kyzmet system."

The indicator "Strategic human resource planning" was introduced to stimulate state bodies to implement a new modern model of human resource management. We believe that with the introduction of this indicator, state bodies will actively begin work on the implementation of this model of human resource management in their organizations.

In this regard, it is proposed to remove this indicator from the bonus and transfer it to the main criterion, which will allow state bodies to close such a significant gap in activities as the lack of a human resource management strategy. Moreover, taking into account the successful foreign experience of applying the human resource management strategy, we believe it to be expedient to translate this indicator into a separate criterion with the corresponding indicators, which should reflect the following areas:

- Formation of human resources;
- Use of human resources;
- Human resource development;
- Retention of human resources.

As for the newly introduced indicator "Use of the "E-Kyzmet" system, according to the methodology, this indicator reflects the total number of personnel documents processed in the E-Kyzmet information system in automatic mode. We believe that this indicator, by its purpose, does not correspond to the criterion "Organization of labor", but is more suitable for the direction "Application of information technologies", where the application of information technologies is assessed.

The next indicator "Management practices in a state body" raises certain questions, since its essence and general concepts are not disclosed. In our opinion, it is necessary to expand and supplement the methodology for calculating this indicator.

According to the indicator "Satisfaction with working conditions", the assessment is carried out on the basis of the questionnaire responses of civil servants. At the same time, the practice of organizing the work of a civil servant shows that in state bodies there is an uneven distribution of workload among employees. Tasks are often entrusted to the most experienced and qualified employees, despite the equivalence of the positions held in the structural divisions of the state body.

In this regard, for a complete and objective assessment of this indicator, we consider it necessary to supplement the questionnaire with the following question: "Are you satisfied with the distribution of the workload among the employees? "

According to the criterion "Organization of labor", which refers to the HRM subsystem - Use of human resources, one should note positive shifts in bringing the national HRM system closer to international standards. For example, "Labor standardization" and "Satisfaction with working conditions", which are used in international practice of using human resources, are now being assessed.

At the same time, when assessing the "Normalization of labor", the following target indicator "Average duration of working hours" is proposed for consideration.

This indicator shows the average length of the working week during the month. It is used for long-term analysis of the state of employment of a civil servant and the efficiency of his work.

According to the agro-industrial complex of the Republic of Kazakhstan, for December 2018, 140 facts of illegal processing in the ministries were revealed: education and science, social development, justice, labor and social protection of the population, agriculture, finance.

Today, there are the following problems in the workplaces of civil servants associated with overworking the working day:

1) ACSA of RK does not conduct constant monitoring to identify overtime of civil servants. These events are one-time.

2) A valid access card of civil servants is used to enter / exit government institutions, but the data from it is not monitored to identify recycled hours.

3) The system of shutting down computers at workplaces at the end of the working day is not effective, since civil servants are forced to find other ways to continue working (using personal laptops, extending the work of the working computer, etc.).

4) Leaders will not be interested in processing subordinates, since the data will be officially recorded.

It should be noted that according to the criterion "Labor organization" there is no assessment for such key functions as performance assessment, remuneration and labor incentives. In this connection, it is proposed to assess state bodies for this indicator.

Evaluation according to the criterion "Meritocracy and organizational culture" is made according to the following formula:

$$M = A + B + C + D + E,$$

where *A* - indicator "Transparency of competitive procedures";

*B* - indicator "Compliance with the principles of meritocracy";

*C* - indicator "Career growth";

*D* - indicator "Transparency of incentives in a state body";

*E* - indicator "Ethics and relationships in the team";

It should be noted that earlier this formula included the indicator "Contribution to the implementation of the tasks of the state body". In the current edition, this indicator is excluded, possibly due to the difficulty of accurately calculating this indicator. At the same time, through this indicator, one could see the general picture of the manifestation of initiative on the part of civil servants. This criterion is largely based on the data from the employee questionnaire, which is compiled in a very simplified form. So, for example, almost all respondents will answer positively to the approval of the questionnaire "my state body accepts talented and qualified workers".

For a more correct and objective analysis of the level of meritocracy, we believe it is necessary to formulate questions of an in-depth nature. For example, "Have you participated in competitions for filling vacant management positions", "Why are you not participating in competitions for filling vacant management positions", "Are you

notified by the HR department about available vacancies for managerial positions for which you could apply" "Have there been any facts of unfair appointment to a leading position in your state body?"

In addition, as part of the assessment according to this criterion, it is proposed to determine the number of civil servants convicted of corruption offenses and the number of civil servants brought to administrative and disciplinary responsibility for committing corruption offenses.

The criterion "Meritocracy and organizational culture" refers to the HRM subsystem - Human Resource Development.

At the same time, such key functions of the subsystem as career planning and management, rotation, internship, formation of a personnel reserve are completely absent.

As for such an indicator as "Professional training", it is assessed within the framework of the previous criterion "Organization of work", while employee training should be considered as part of the human resource development process and assessed under the criterion "Meritocracy and organizational culture".

In addition, in order to implement the full cycle of HRM in the civil service, it is proposed to supplement the assessment with a new criterion "Retention of human resources".

This criterion can be used to assess the loyalty of staff and the quality of talent management. In addition, the indicator "Ethics and relationships in the team", which is now assessed within the framework of 3 criteria, should be considered within the framework of the HRM subsystem - Human Resource Retention.

The assessment in the direction "Application of information technologies" is based on statistical data and the results of rechecking the reports of state bodies in the framework of the direction of the State Program "Digital Kazakhstan" "Transition to a digital state" and to stimulate internal factors of the effectiveness of the application of information solutions.

An analysis of the current methodology showed that it does not always allow one to achieve its goal.

Assessment according to the criterion "Relevance of information contained in information systems and databases" (C):

$$C = \frac{\sum_{i=1}^n (l)}{n} * k,$$

Where:

*C* is relevance of information contained in information systems and databases;

*n* is the total number of information systems and databases on the balance sheet of the assessed state body and its subordinate organizations;

*l* is the level of relevance of the information contained in the information system or database;

*k* is the coefficient equal to 25.

In the absence of information systems on the balance sheet of a state body and its subordinate and dependent organizations, the state body provides information in the

form of a certificate of their absence and the state body is assigned 0 points according to this criterion. The maximum value for this criterion is 25 points.

Thus, if the specifics of a state body do not imply the presence of information systems on the balance sheet of a state body and its subordinate and dependent organizations, then such a state body is “punished” and gets 0 points, which leads to its demotivation. We propose to give the maximum assessment to such a state body that will exclude demotivation and will not violate the objectivity of the assessment.

Assessment according to the criterion "Automation of the functions of state bodies" is aimed at a comprehensive study of work on the automation of the activities of the evaluated state bodies.

$$E = \frac{E_1 + E_2 + E_3 + E_4}{n} * k$$

Where:

*E* is automation of functions of state bodies;

*E1* is the number of functions of the assessed state body, automated by means of information systems of this state body, or information systems of its departmental and subordinate organizations;

*E2* is the number of functions of the assessed state body, automated through information and communication services, as well as service software products implemented within the service model of informatization;

*E3* is the number of functions of the assessed state body, automated through information systems of other state bodies, or information systems of their departmental and subordinate organizations;

*E4* is the number of functions of the assessed state body, automated by means of information systems of third-party organizations in the framework of the provision of public services at the expense of the budget of the state body;

*n* is the total number of functions of the assessed state body subject to automation;

*k* is the coefficient equal to 25.

The authorized body in the field of informatization compares the list of functions to be automated, approved by the internal normative act of the assessed state body, with the position of the state body.

In the absence of a list of functions subject to automation in the assessed state body, approved by the internal normative act of the assessed state body, the share of automated functions is assessed in comparison with the total number of functions contained in the regulation on the assessed state body.

There are a number of functions that require human input and cannot be automated. Therefore, we propose to subtract functions from the total number of functions (*n*) that cannot be automated without additional bureaucratization, i.e. without approval of such functions by an additional document.

## Conclusion

Summing up the results of the study and in the direction "Personnel Management", we can conclude that the current human resource management system has problems that negatively affect the efficiency of the civil service. Especially in terms of determining the necessary target indicators, methods for assessing the effectiveness of state bodies, as well as the lack of strategic planning in the field of human resource management.

The analysis of the criteria showed that, despite the existing shortcomings, the introduction of the methodology for assessing the effectiveness of personnel management has significantly expanded the scope of the real picture of the state of the state bodies' HRM. This technique not only made it possible to see internal processes, but also to concentrate the efforts of state bodies on solving priority tasks, such as professionalizing personnel and increasing the transparency of activities. HR assessment has contributed to the development of a culture of assessment and accountability in public administration. Today, the assessment is perceived by state bodies as an integral element of public administration.

However, despite the positive results, there is a groundwork for further improving the organizational development of state bodies, in part - assessing human resources, work organization, meritocracy and organizational culture of state bodies, the use of information technologies:

1) There is a formal bureaucratic approach to human resource management in state bodies. Subjectivism prevails over personal qualities in the selection and promotion of personnel. In this regard, there is an acute issue of legislative support for ongoing reforms, including the introduction of the obligation of state bodies to develop and approve a strategy for human resource management.

2) Approaches in the direction "Application of information technologies" have radically been changing since 2019 with the introduction of an architectural approach in the activities of state bodies, which implies a reduction in the chains of business processes and the transition from a functional to a matrix organizational structure, that is, a complete separation of activities into project and operational, which is possible only due to the distribution of roles at the level of the IT architecture. The assessment was therefore aimed at sustaining this transformation. The transition to a matrix system of state bodies has not yet taken place, unfortunately, and the assessment is already underway.

In 2020, when defining assessment criteria, an even greater emphasis is placed on stimulating information integration of all state bodies to increase the efficiency of horizontal ties in public administration, as well as to improve the quality of public services. In addition, the assessment methodology is aimed at enhancing the revision of databases and information systems of state bodies.

3) The information obtained during the analysis made it possible to comprehensively consider the existing problem areas in the civil service system at the following stages: - *adaptation of newly hired administrative civil servants*; - *mentoring*; - *professional development of civil servants*; - *selection of civil servants*; - *increasing the prestige and competitiveness of the civil service through the formation*

*of an employer's value proposition; - the importance of strategic planning and implementation of results-based management tools.*

According to these criteria, it is necessary in the future to adjust the Methodology for the operational assessment of the activities of state bodies in the block "Organizational development of a state body".

To date, according to the analysis of the current system, the following problems and conclusions have been identified:

1. The current selection system for the civil service has positive aspects, is more democratic, but at the present time, it does not fully correspond to the tasks facing the civil service, more specifically to the persons who personify this service. The current selection does not allow, unfortunately, to select the best among the best talents.

2. The competitiveness of the civil service compared to the private sector is lower due to the lack of an engagement process.

3. The lack of staffing in the civil service indicates the presence of an outflow of personnel and the lack of tools to retain specialists in the civil service.

4. Lack of opportunities to find worthy candidates.

5. Insufficient level and experience of personnel of HR department for recruiting and selecting for the civil service.

6. The need to further reduce overtime work and the unproductive workload of civil servants.

The results of the assessment allow us to conclude that the initial goal of building internal processes in state bodies has been practically achieved. The next step in the implementation of the system will be the transition from process assessment to assessment results. The emphasis on performance indicators should form the basis of a new assessment model.

This approach is fully consistent with the requirements for the modernization of public administration and has an important socio-political effect. The ultimate goal of the assessment is not only to improve governance mechanisms, but also to ensure that state bodies are held accountable to society.

At the same time, it should be taken into account that, ARKCSA, MDDIAI require adjustments in terms of:

1) the policy pursued to gradually reduce the number of civil servants;

2) focusing on measurable indicators and criteria in the areas of "Personnel management", "Application of information technology";

3) determination of quality indicators of the civil service system. We believe it is possible to focus on the issues of engaging, promoting and retaining qualified personnel. This will require the inclusion of new criteria and indicators;

4) training civil servants in practical skills and innovations.

It is interesting that the changes to the Methodology are introduced at the end of the assessed year, that is, the assessed state body learns about the assessment criteria and the assessment methodology after the end of the assessed period.

Thus, the changes introduced after the fact run counter to the main purpose of its implementation.

## Recommendations

*Recommendations for improving the assessment methodology:*

1) According to the assessment of the criterion "Human resources of a state body" in the direction "Human Resource management", two indicators "High staff turnover" and "Employee loyalty" are essentially similar, and perhaps the developers of the methodology could have combined them into one single indicator.

$$K = (C + S) + V + G + P, \text{ где:}$$

*C* – an indicator of "High staff turnover" (leaving the civil service);

*S* - an indicator of "Employee loyalty";

*V* – an indicator "Dismissal interview";

*G* - indicator "Gender composition";

*P* - indicator "Qualitative composition of personnel"

*Suggestions for improving the methodology:*

Indicators **C** and **S** should be combined due to their substantial similarity.

To supply this criterion with such indicators as:

- *the number of civil servants who should have and have already had retraining and advanced training courses;*

- *correspondence of the studied courses to the main directions of state body activities*

2) Assessment for the indicator "High staff turnover" (leaving the civil service) (**C**):

a) if the indicator of high staff turnover (*t*) is less than or equal to 0.06, the state body is assigned the maximum score (10 points).

The high staff turnover rate is calculated using the following formula:

$$t = \frac{a_1 + a_2}{b_1 + b_2},$$

where:

*t* - an indicator of high staff turnover;

*a1* - information on the high staff turnover of civil servants at the management level, obtained as a part of the monitoring of civil service personnel of the Republic of Kazakhstan and which is carried out by the authorized body for civil service affairs;

*b1*- the average actual number of administrative civil servants at the management level (the number of administrative civil servants at the management level in the state body is summed up as of the last day of each month and divided by the number of months in a year (12));

*a2* - information on the high staff turnover of civil servants who are not at the management level, obtained as part of the monitoring of civil service personnel of the Republic of Kazakhstan and which is carried out by the authorized body for civil service affairs;



b2- the average actual number of administrative civil servants who are not at the management level, (the number of administrative civil servants who are not at the management level in the state body is summed up as of the last day of each month and divided by the number of months in a year (12).

b) if the indicator of the high staff turnover (t) is equal to or more than 0.08, the state body is assigned a score of 0 points for the indicator.

c) in other cases, the score for the indicator is calculated using the following formula:

$$C = k * \frac{(0,08 - t)}{0,03},$$

where:

C - assessment by the indicator "High staff turnover";

k - coefficient for reducing the obtained results to a weight value (10);

t- an indicator of the high staff turnover.

The maximum value for this indicator is 10 points.

*Suggestion:* when you calculate the score for the indicator "High staff turnover" in the direction "Human resource management" we propose to return the value of 0.09 (instead of the current 0.08), since an official (Employer) cannot influence the decision of a civil servant who decided to resign from the job.

In addition, in calculating, it is necessary to indicate only the number of dismissed civil servants who are appointed directly by the Secretary- General of the Ministry, in accordance with his empowerment, since, in the current assessment, the indicator "Staff turnover rate" also covers the number of dismissed employees throughout the Ministry, including its departments and territorial bodies of departments, the appointment and dismissal of which is carried out by the direct manager of each civil servant belonging to one or another state body.

3) The assessment for the indicator "Training of civil servants" (U) is calculated using the following formula:

$$U = k * \left( \frac{a}{b} * 0,5 + \frac{c}{d} * 0,5 \right),$$

where:

U – an assessment for the indicator "Training of civil servants";

k – a coefficient for reducing the obtained results to a weight value (5);

a - the number of civil servants who had an advanced training course in the reporting period within the established timeframe, out of the number of those subject to the allocated budget funds;

b - the number of civil servants who should have an advanced training course in the reporting period within the allocated budget funds;

c - the number of civil servants who had a retraining course in the reporting period within the established timeframe, from the number of those subject to the allocated budget funds;

d - the number of civil servants who should have a retraining course in the reporting period within the allocated budget funds;

0.5 - a coefficient for bringing the obtained results to a point value.

If there is no any civil servant who should have an advanced training course in the assessed period, it is  $a / b = 1$ .

If there is no any civil servant who should have a retraining course in the assessed period, it is  $c / d = 1$

For each fact of violation of training terms (later than the established terms or failure to have advanced training and retraining courses) of civil servants, the state body is assigned 1 penalty point.

The maximum value for this indicator is 5 points.

*Suggestion:* When assessing this indicator, it is necessary to take into account that the number of civil servants who have already had training, advanced training, retraining courses and their number in practice is always less than the planned number of those to be trained. The reason is the absence or non-confirmation of the allocated budget funds by authorized bodies.

4) The following concept corresponds to the most complete definition of human resources potential: "The combination of personal characteristics of personnel, their special knowledge, qualifications and experience, as well as potential opportunities that can be activated and used in their work by the organization."

Based on this concept, we can conclude that human resources should be determined not only by the staff turnover, but also by the level of qualifications and experience of personnel.

5) Such key functions of the subsystem as *planning the need for human resources, selection for civil service* are completely absent. It is necessary to take into account when adjusting the methodology.

6) With regard to such a criterion as "Competence", then some of its elements are present in the assessment. For example, the number of civil servants with a scientific degree and foreign education is estimated. However, training does not always guarantee the possession of skills, in connection with which one should take into account skills from knowledge of foreign languages to the possibility of using advanced information systems, or certified project managers.

7) In addition, in the third criteria "Meritocracy and organizational culture" use the indicator "Transparency of competitive procedures". It estimates the number of competitions held with the participation of observers from the total number of competitions held. However,

firstly, it must be qualitatively revised *to assess the competencies of applicants, their skills and the general level of the competition*

secondly, the indicator should be *assessed within the framework of the system - Formation of human resources.*

8) In the criterion "Labor organization", new indicators were added that were absent in the previous methods: "Strategic human resource planning", "Training of civil servants", "Use of the E-Kyzmet system."

The indicator "Strategic human resource planning" was introduced to stimulate state bodies to introduce a new modern model of human resource management. We believe that with the introduction of this indicator, state bodies will actively begin work

on the implementation of this model of human resource management in their organizations.

In this regard, it is proposed to remove this indicator from the additional point and transfer it to the main criterion, which will allow state bodies to close such a significant gap in activities as the lack of a human resource management strategy. Moreover, taking into account the successful foreign experience of applying the strategy of human resource management, we believe it expedient to translate this indicator into a separate criterion with appropriate indicators, which should reflect the following areas: - *Formation of human resources*; - *Use of human resources*; - *Development of human resources*; - *Retention of human resources*.

9) As for the newly introduced indicator "Use of the E-kyzmet system, according to the methodology, this indicator reflects the total number of personnel documents processed in the E-Kyzmet information system in automatic mode. We believe that this indicator by its purpose does not correspond to the criterion "Labor organization", but is more suitable for the direction "Application of information technology", where the application of information technology is assessed.

10) The next indicator "Management practices in a state body" raises certain questions, since its essence and general concepts have not been disclosed. In our opinion, it is necessary to expand and supplement the methodology for calculating this indicator.

11) According to the indicator "Satisfaction with working conditions", the assessment is carried out on the basis of the questionnaire responses of civil servants. At the same time, the practice of organizing the work of a civil servant shows that there is an uneven distribution of workload among employees in state bodies. Tasks are often entrusted to the most experienced and qualified employees, despite the equivalence of the positions held in the structural divisions of the state body.

In this regard, for a complete and objective assessment of this indicator, we consider it necessary to supplement the questionnaire with the following question: "*Are you satisfied with the distribution of the workload among the employees?*"

12) According to the criterion "Labor organization", when assessing the "Normalization of labor", the following target indicator "Average duration of working hours" is proposed for consideration.

This indicator shows the average length of the working week during the month. It is used for long-term analysis of the state of employment and the efficiency of a civil servant's work.

13) It should be noted that according to the criterion "Labor organization" there is no assessment for such key functions as performance assessment, remuneration and labor incentives. In this connection, it is proposed to assess state bodies for this indicator.

14) According to the criterion "Meritocracy and organizational culture", it should be noted that earlier in this formula there was an indicator "Contribution to the implementation of the tasks of the state body". In the current edition, this indicator is excluded, possibly due to the difficulty of accurately calculating this indicator. At the same time, through this indicator, one could see the general picture of the manifestation of initiative on the part of civil servants. This criterion is largely based on the data from

the employee questionnaire, which is compiled in a very simplified form. So, for example, almost all respondents will answer positively to the approval of the questionnaire *“my state body accepts talented and qualified workers”*.

For a more correct and objective analysis of the level of meritocracy, it would be suggested to formulate questions of an in-depth nature. For example, *“Have you participated in competitions for replacement of vacant managerial positions?”*, *“Why are you not participating in competitions for replacement of vacant managerial positions?”*, *“Are you notified about available vacancies for managerial positions for which you could apply by the HR department?”* *“Have there been any facts of unfair appointment to a leading position in your state body?”*

15) In addition, as part of the assessment according to this criterion, it is proposed to determine the number of civil servants convicted of corruption offenses and the number of civil servants who have been held to account to administrative and disciplinary responsibility for committing corruption offenses.

16) At the same time, such key functions as career planning and management, rotation, internship, formation of a personnel reserve are completely absent.

17) As for such an indicator as "Professional training", it is assessed within the framework of the previous criterion "Organization of labor", while employee training should be considered as part of the human resource development process and assessed under the criterion "Meritocracy and organizational culture".

18) In addition, in order to implement the full cycle of human resource management in the civil service, it is proposed to supplement the assessment with a new criterion "Human Resource Retention".

This criterion can be used to assess the loyalty of staff and the quality of talent management. In addition, the indicator "Ethics and relationships in the team", which is now assessed in the framework of 3 criteria, should be considered within the framework of the human resource management system - Human resource retention.

19) In the direction "Application of information technologies", the assessment according to the criterion "The relevance of information contained in information systems and databases" requires the presence of such information systems or databases on the balance sheet of a state body. If there is none on the balance sheet, then a score of "0" will be given, which directly affects the overall rating. But whether there is a need to create new information systems and databases if there are publicly available ones, such as, for example, "E-Government", etc. So, at the end of 2019, a score of "0" was given to the MCS and MES, as a result of which they have less than 50%.

Analyzing the operational assessment methodology in the direction "Application of information technologies", problems were identified that are closely related to the effectiveness of civil servants and at the same time directly affect the assessment in the named area of the entire state body, namely: the lack of qualified IT specialists, especially in the regions, as well as the inability of performers to work with the architectural portal. Moreover, such a problem is observed to a greater extent in the regions, but at the same time the central state bodies are also involved. This leads to the disruption of the direction of the state program "Digital Kazakhstan" "Transition to the digital state" - the transformation of the state infrastructure to provide services to the population and business, anticipating their needs.

We believe that it is necessary to form IT skills in all specialists, working at a proactive pace, given that this area is developing at a very high speed, and the authors of the Digital Kazakhstan program position the use of the latest breakthrough technologies, including in the public administration system.

Thus, the assessment of the state body activities in the block "Organizational Development" is aimed at stimulating certain types of activities, at increasing efficiency. We believe that the stimulating effect should precede the stimulated activity in order to fully exert a pushing influence on it.

The criteria must be known prior to the assessed year, in order to make changes to the operational plans of a state body, to the KPI of civil servants of the state body, for example, individual work plans of civil servants. Some types of assessed activities require special knowledge, and, therefore, additional training of employees is required. Such training should also be included in the professional development plan, as well as in the budget of the state body in the item of expenditures for staff development.

In general, it is necessary to apply a differentiated approach to assessing the activities of state bodies, taking into account the peculiarities, the specifics of the activities of each assessment object.

## SECTION II ASSESSING THE EFFICIENCY OF THE ACTIVITY OF ADMINISTRATIVE CIVIL SERVANTS PUBLIC OFFICERS

### CHAPTER 4. ANALYSIS OF THE ASSESSMENT METHODOLOGY

#### 4.1 The current state of the system for assessing the effectiveness of civil servants

In the context of uncertainty and the speed of transformation, the activities of civil servants are undergoing tremendous changes. Today, in the context of a global pandemic, the state apparatus needs to study the problems or benefits of working for civil servants when working remotely. The outbreak of COVID-19 has forced most governments to quickly restructure their operations, introducing different modes of operation. Restraint measures have created an opportunity to explore the potential of institutionalizing more flexible working arrangements for civil servants, giving them greater freedom to plan in how they perform their duties. State bodies had a variety of work options at their disposal, including flexplace (telecommuting, working from home or somewhere outside of the office), flextime, part-time work, shorter workweeks, etc. Gradually returning to the workplace, state bodies and staff felt a big difference between the “before covid” rigid rules and the need for innovation and “out-of-the-box” thinking.

At all government levels, dramatic measures to optimize the activities of the state apparatus and eliminate the economic consequences of COVID-19 are being taken. President of the country K.-J. Tokayev, in his Address to the people of Kazakhstan, noted that "the pandemic and the transfer of most employees of state bodies to the remote work mode showed that the state apparatus can and should be reduced."

Singapore's Civil Service Authority said "85,000 civil servants will not receive any bonuses by the end of the year this year due to the economic impact of the COVID-19 pandemic."<sup>92</sup>

Against the background of changes in the moral and psychoemotional environment, measures to improve the performance of civil servants and, at the same time, to motivate them, reduce burnout and properly manage remote employees over a long period of time come to the fore. Managers are entrusted with the main function of identifying and preventing psychosocial risks in achieving the strategic goals of the state body. If until recently methods of directive compliance with the rules were used, then in this context the following became relevant:

- self-planning by employees: set their own, individual work schedules to balance work and family responsibilities (under certain criteria and restrictions);
- ensuring regular, timely and clear communication
- informing employees about changes in the work of the state body in order to maintain their involvement;
- stimulating employees for self-training and professional development;
- providing feedback, motivating employees;

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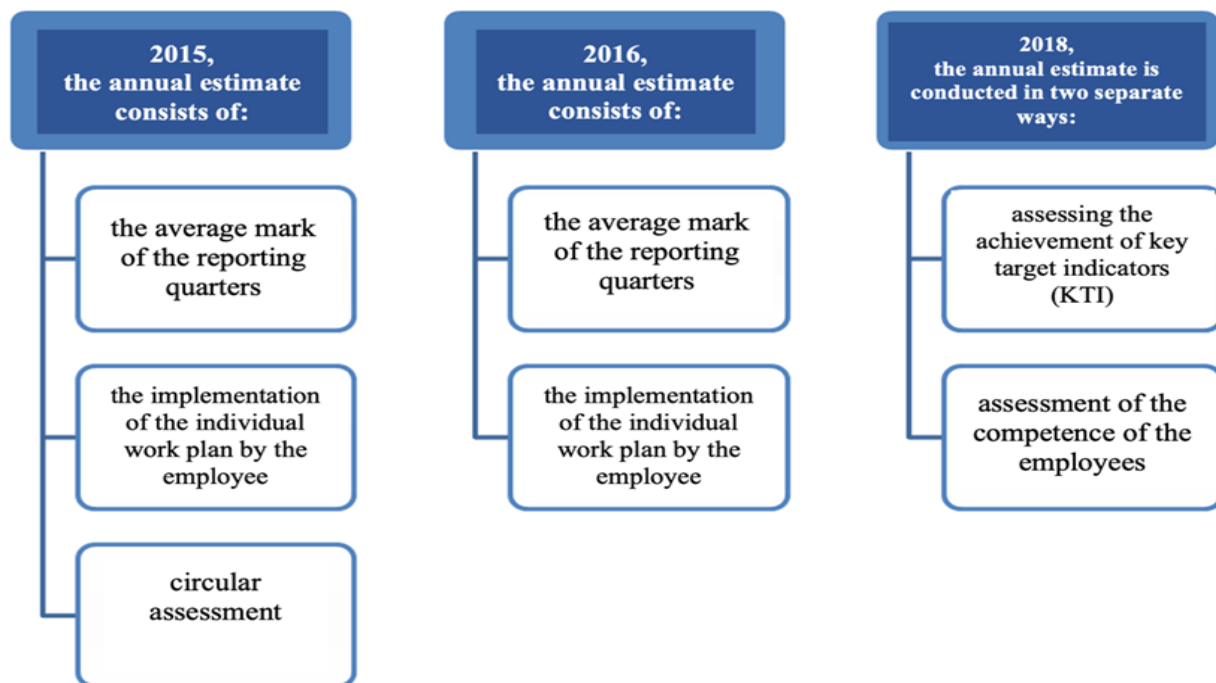
<sup>92</sup> No year-end bonus for civil servants; 2,400 lower-wage staff to get \$1,200 one-time payment // <https://www.straitstimes.com/singapore/no-year-end-bonus-for-civil-servants-2400-lower-wage-staff-to-get-1200-one-time-payment>

- regular distribution of the load between employees at the workplace and at remote work;
- automation of activities and provision of access to key IT systems;
- assessment of the employee's performance based on results, and not on their observance of working hours and immediate availability<sup>93</sup>.

Assessment of the performance of civil servants is "the process of comparing the performance results achieved by civil servants with the results that are normatively established, set at the planning stage."<sup>94</sup>. At this stage, an assessment is made of the compliance of the requirements for civil service positions and the performance of civil servants.

It should be noted that the Kazakh experience assessing the effectiveness and efficiency of civil servants has been actively developing over the past few years.

In general, the dynamics of structural changes to assessing the effectiveness and efficiency of administrative civil servants is as follows.



Note: compiled by the authors

Figure 4.1 - Dynamics of structural changes in approaches to assessing the effectiveness and efficiency of civil servants building "B"

So, regarding the Standard methodology for assessing the activities of administrative civil servants of corps "B", approved by order of the Minister for Civil

<sup>93</sup> Human resource management in the context of coronavirus (COVID-19). Inventory of ideas for civil service authorities, human resource units and line managers. First edition, 9 July 2020. – OECD 2020 // <http://www.sigmaweb.org/byexpertise/publicserviceandhumanresourcemanagement/SIGMA-HRM-coronavirus-inventory-ideas-09072020.pdf>

<sup>94</sup>Shitova I.A. Goals and objectives of assessing the effectiveness of civil servants // Sociology and society: global challenges and regional development. IV Ordinary All-Russian Sociological Congress. - October 23-25, 2012

Service of the Republic of Kazakhstan dated December 29, 2015 No. 13, the following should be noted.

Assessment of the activities of the employees of Corps "B" was carried out to determine the effectiveness and quality of their work.

The annual estimate consisted of:

- 1) the average mark of the employee of the "B" building for the reporting quarters;
- 2) assessing the implementation of the individual work plan by the employee of building B;
- 3) circular assessment.

The quarterly assessment was carried out by the immediate supervisor and was based on the assessment of the performance by the employee of Corps B of his job duties.

The assessment of the performance of official duties consisted of basic, incentive and penalty points. In this case, the base points were set at the level of 100 points. Incentive points were awarded for performance indicators exceeding the average volume of the current work, as well as activities that are complex in terms of content and/or organizational plan.

The encouraged indicators and types of activities were determined by government agencies based on their specifics and were distributed on a five-level scale in order of increasing volume and complexity of the work performed. At the same time, the number of encouraged indicators and activities could include both documents and events that are recorded and not recorded in the Unified Electronic Document Management System and the Intranet portal of state bodies.

For each encouraged indicator or type of activity, an employee of Corps "B" was assigned by the direct supervisor in accordance with the approved scale from "+1" to "+5" points.

Penalty points were awarded for violations of performance and labor discipline.

It should be noted that the round-robin rating was a rating of:

- 1) the immediate supervisor;
- 2) subordinates of the employee of the "B" corps;
- 3) and in the absence of subordinates - persons holding positions in the structural unit in which the employee of corps "B" works (if any).

The results of the assessment served as the basis for making decisions on the payment of bonuses and training.<sup>95</sup>

As you know, conducting circular assessment requires the assessed environment and assessors to understand the value of the assessment process itself and the degree of involvement in its results. For a high-quality assessment, first of all, it was necessary to train personnel who will directly conduct the assessment.

Therefore, *by the order of the Chairman of the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption Affairs dated December 29, 2016*

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<sup>95</sup> Typical methodology for assessing the performance of administrative civil servants of corps "B", approved by order of the Minister of Civil Service of the Republic of Kazakhstan dated December 29, 2015 No. 13 (no longer valid)



No. 110 the institution for assessing the performance of civil servants has been modified<sup>96</sup>.

In contrast to the previous methodology, the annual assessment of employees of Corps "B" already consisted of two components:

- 1) the average grade of the employee of the "B" building for the reporting quarters;
- 2) Assessment of the fulfillment of the individual work plan by the employee of Corps B.

The quarterly assessment was carried out by the immediate supervisor and was based on the assessment of the performance by the employee of Corps B of his job duties.

An individual work plan was drawn up by an employee of Corps B together with his immediate supervisor. It necessarily indicated the target performance indicators of the employee, as well as indicators of the expected result.

Target indicators were determined taking into account their focus on achieving the strategic goal (goals) of the state body, and in case of its (their) absence, based on the functional duties of the employee.

At the same time, it was established that the number of target indicators should be no more than four, of which at least half are measurable.

Similarly, to the previous methodology, the current one defined the criteria for making decisions based on the results of the assessment.

So, the results of the assessment were the basis for making decisions on the payment of bonuses and training. Bonuses were paid to employees of Corps "B" with scores of "excellent" and "effective".

The methodology provided that an employee of Corps "B" was sent for training (advanced training). Thus, training (advanced training) of an employee of Corps "B" was carried out in the direction in which the activity of an employee of Corps "B" was recognized as "unsatisfactory" based on the results of the annual assessment. An employee of Corps B was sent to refresher courses within three months after the Commission approved the results of the annual assessment of his performance.

An employee of Corps "B", who received an "unsatisfactory" grade, was not assigned as a mentor to persons who were first recruited to administrative government positions.

The results of evaluating an employee of Corps "B" for two consecutive years with the value "unsatisfactory" were the basis for making a decision to demote him. In the absence of any vacant lower position, an employee of Corps "B" was dismissed in accordance with the procedure established by law.

In accordance with this methodology, the assessment was carried out on the basis of the actual results of the employee's work, the level of development of certain competencies of a particular employee was not determined.

Concerning, *January 16, 2018 The Chair Agency of the Republic of Kazakhstan for civil service and anti-corruption from No. 13 reported on a new, currently valid*

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<sup>96</sup> Order of the Chairman of the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption Affairs dated December 29, 2016 No. 110 "On some issues of assessing the performance of administrative civil servants" (invalidated)

Typical methodology for assessing the performance of administrative civil servants in Corps B.<sup>97</sup>

*The fundamental difference between the new technique Assessment* was the introduction of a competency-based approach to personnel management in public service.

Since 2018, Kazakhstan has approved the Unified Competence Framework for Civil Servants - a personnel policy tool that sets requirements for the availability of knowledge, skills and abilities, differentiated for each position.

The competence system was used in the development of existing assessment methods, as well as to determine behavioral indicators employees.

The approved Unified Competence Framework consists of 11 competencies, grouped into 4 blocks, corresponding to the characteristics of a professional civil servant and his personal qualities:

1. Efficiency:
  - Activity management;
  - Cooperation;
  - Making decisions;
  - Efficiency;
  - Self-development;
2. Serving the people:
  - Orientation to the consumer of services;
  - Informing consumers of services;
3. Transparency and accountability:
  - Integrity;
4. Personal qualities of employees:
  - Responsibility;
  - Initiative;
  - Stresstolerance.

In general, the competency assessment method as a personnel management tool provides a clear definition of the professional and behavioral requirements for an employee depending on his managerial level, profession, position and tasks performed.

This method allows the employee to understand what competencies he needs to develop and what requirements are imposed on him, he receives feedback on his strengths and weaknesses, general potential and career prospects.<sup>98</sup>

*An innovation in the assessment of the performance of employees of the corps "B"* are the directions of the assessment:

- 1) assessing the achievement of key target indicators (KTI);
- 2) assessment of the competence of the employees of Corps "B".

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<sup>97</sup> Typical methodology for assessing the performance of administrative civil servants of corps "b", approved by Order of the Chairman of the Agency of the Republic of Kazakhstan for Civil Service and Anti-Corruption Affairs dated January 16, 2018 No. 13

<sup>98</sup> Vetoshkina T. The role of competencies in personnel management // Kadrovik. Personnel management. - 2013. - No. 3. - from. 13-19.

Assessment of the achievement of key target indicators is carried out in the following order:

- upon reaching all KTIs, the mark is "excellent";
- upon reaching 4 out of 5 KTI, the score is "effective";
- upon reaching 3 out of 5 KTI, the mark is "satisfactory";
- upon reaching less than 3 out of 5 KTI, the rating is "unsatisfactory".

Thus, the achievement of the KTI provides for the full implementation of the indicators provided for by the individual plan.

When assessing competencies, it is necessary to be guided by a set of behavioral indicators for each competence provided for the categories of civil service positions in corps "B".

The level of development of an employee's competence is determined by the number of behavioral indicators that appear in the employee's activity during the assessed period in the following order:

1) when 3/4 or more of the behavioral indicators provided for by a certain competence are manifested in the activity of an employee, the score "meets expectations" is given.

2) if the employee's activity does not correspond to less than 3/4 of the behavioral indicators provided for a specific competence, the score "does not meet expectations" for this specific competence is given.

In general, the methodology determined that the results of assessing the implementation of the KTI are the basis for making decisions on the payment of bonuses, incentives, rotation, demotion or dismissal.

And the results of the competence assessment are the basis for making decisions on the development of the necessary competencies for the employee of Corps B. At the same time, the results of the competency assessment do not affect the payment of bonuses, incentives, rotation, demotion or dismissal.

In general, the competency assessment method as a personnel management tool provides a clear definition of the professional and behavioral requirements for an employee depending on his managerial level, profession, position and tasks performed.

## **4.2 International experience in assessing the performance of civil servants**

Systems for assessing the performance of civil servants in foreign countries are based on various mechanisms: performance is determined by compliance with target indicators or by identifying compliance with mandatory and additional criteria, some models integrate both approaches. The best practices are focused on qualified assessment levels depending on the level of the position held and the requirements imposed on them, also the results of performance assessment serve as the basis for identifying training and development needs and subsequent decision-making on the professional training of civil servants, high results provide opportunities for career advancement and incentive payments.

The global pandemic associated with the spread of COVID-19 has made significant adjustments to the performance management system of the state apparatus.

The sudden need for employees to be able to do their jobs without being in the office was a major catalyst for change. It changed the way how managers and employees interact. Working from home gives the employee much more autonomy in determining the approach to their work, bypassing strict management control. All of this underscores the need for new skills for both managers and employees.

The legal forms of regulation of the assessment of civil servants are: regulations and by-laws, which cover the purposes of the assessment and basic principles, the subject of assessment and the assessor, the frequency of assessment, types and scale of assessment; the results of the assessment and their impact on the civil servant; and the mechanism for appealing the decision.

here are three main models for assessing civil servants in the Member States of the European Union: the traditional model of the assessment system, the target model of the assessment system and the mixed model, which combines the traditional and target characteristics of the model of the assessment system.

The subject of the assessment is a qualified civil servant. The assessment system does not apply to a civil servant appointed on the basis of political affiliation or a person hired on the basis of an employment contract. Different rules and criteria apply to a civil servant admitted on probation and a civil servant in a managerial position.

One of the most important structural changes that have taken place over the past two decades in the performance appraisal of civil servants is the introduction of other sources of performance data. In addition to the traditional source of the direct manager, the following are used:

- multi-source (also called 360-degree) systems;
- ratings of colleagues;
- self-assessment;
- the assessments of their supervisors by subordinates (also called 180-degree systems), etc.

In particular, multi-source systems and expert assessments have received a lot of attention in the area of performance measurement.<sup>99</sup> These systems often include assessments of one or more managers, multiple colleagues and subordinates, and can also include self-assessments or assessments of others inside or outside the organization. While there is no clear answer to the question of whether the inclusion of different sources improves the accuracy, reliability and validity of estimates in any practice, the key assumption underlying the inclusion of multiple sources rather than just one is still valid.<sup>100</sup> The assessments obtained from various sources contain information that is relevant and useful for the assessed persons, such information becomes the basis for the future development, training and career planning of civil servants.

The most frequently used source of performance measurement is still the traditional line manager, who rates his subordinates (28/30 or 93%). This is a natural assumption based on the simple fact that the manager is supposed to have information

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<sup>99</sup> Levy, P.E. and Williams, J.R., 2004. The social context of performance appraisal: A review and framework for the future // *Journal of management*, 30(6), pp.881-905.

<sup>100</sup> Murphy, K.R., Cleveland, J.N. and Mohler, C.J., 2001. Reliability, validity, and meaningfulness of multisource ratings // *Handbook of multisource feedback*, pp.130-148.

about the behavior and activities of his subordinates and is responsible for the achievement of organizational goals. However, many countries have started to combine this traditional method with other sources.<sup>101</sup>

Self-assessment is based on the belief that civil servants have an important understanding of how their work should be done and can therefore provide valuable information.

It is considered to be the easiest to obtain the necessary information and has several advantages: a) contributing to a positive perception of the civil servants of the assessment process; b) participation in this process (especially when combined with feedback and involvement); c) a method of clarifying expectations, requirements and adjustments. Thus, self-assessment can provide valuable information about the system and contextual factors.

Corporate assessment (also known as a team assessment) is sometimes viewed as superior to other types of sources, in part because they increase reliability as a by-product of the aggregated results from the average of multiple evaluators. In terms of information value, colleagues are often in a better position to measure performance than managers because they can better understand the factors that drive performance, especially in a team-based work environment. Corporate assessment is usually part of 360-degree.

The broader version of performance measurement is also called multi-source (360-degree) and 180-degree, which provide more data than other approaches. The first method gets information about efficiency from five channels of information: managers, colleagues, subordinates, self and “consumers”. Both are administratively complex and time consuming.

The 360-degree tool is typically used for the development of senior civil service managers, rather than making administrative decisions about remuneration or promotion.

The 180-degree assessment gives civil servants the opportunity to assess the performance of their superior when civil servants have the opportunity to confidentially comment on the performance of their supervisors on a voluntary basis.

There are some methods when the assessment of a civil servant can be carried out:

- a) by direct supervisor;
- b) by immediate supervisor and the person holding a leading position in the institution;
- c) by the direct manager and representative of the personnel management unit of the institution and / or
- e) the evaluation commission.<sup>102</sup>

There are two types of assessment of a civil servant: regular and ad special. Regular assessments are carried out over a period specified by law and apply to all civil servants. And a special assessment can be carried out in the circumstances determined

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<sup>101</sup> Staroňová K. Performance Appraisal in the EU Member States and the European Commission // 2017, Government Office of Slovakia

<sup>102</sup> Civil Servant’s Evaluation System: Member States of the European Union and Georgia. - Georgian Young Lawyers’ Association. – 2011

by law and, if necessary, used in relation to a specific civil servant. For a deeper understanding of the best practices, the experience of advanced countries was studied.

#### United Kingdom:

A capabilities plan for the Civil Service (the “Capabilities Plan”) in the UK identifies four priority areas for civil service development: leadership and change management, financial skills and behavior, service redesign and digital delivery, and successful projects and programs.<sup>103</sup> Accordingly, the architecture of the civil service is built to create the necessary organizational culture. To improve the efficiency of civil servants, the system of their continuous training is focused on the development of the appropriate level of competence. Civil servants' five-year plans are based on the Competency Framework. The competency framework allows you to determine the required skill level for a specific position, the need to develop skills for career growth and human resource planning, assess the level in preparation for certification and carry out the correct selection of personnel.

The model consists of 10 competencies, grouped into three areas: direction, people engagement, and performance. Since the beginning of 2019, the British civil service has switched to the Success recruitment system profiles. For each competency, it describes what it means in practice and provides indicators of effective and ineffective behavior at all levels. Behavior indicators do not need to be exhaustive but provide a clear and coherent picture of what is expected of individuals in the public service.

The UK Government Performance Assessment focuses on effective performance management, which is critical to creating a culture of high performance with a focus on quality service delivery. It includes careful individual planning and performance assessment based on personal development. Good performance management allows managers to:

- clearly and consistently focus individual actions and development on the implementation of strategic business priorities;
- motivate people to do their best;
- manage succession planning, career and personal development;
- make informed decisions about remuneration, taking into account individual contributions and achievements.

Performance management is at the core of how leaders and their teams work together and with others. This is a core business process that involves building a shared understanding of what success looks like and how it can be achieved and sustained<sup>104</sup>. Open, honest and frequent dialogue between the employee and their immediate supervisor is very important. Everyone should have a clear understanding of the expectations and required results and how they will be measured and rewarded.

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<sup>103</sup> The Civil Service Reform Plan // [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/305148/Civil-Service-Reform-Plan-final.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/305148/Civil-Service-Reform-Plan-final.pdf)

<sup>104</sup> Performance Management Arrangements for the Senior Civil Service (April 2020) // [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/888431/SCS-PM-Guidance-2020-Final.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/888431/SCS-PM-Guidance-2020-Final.pdf)

Performance measurement tools are based on key metrics and information sources used to develop action plans. Special attention is also paid to the selection of information sources that are appropriate to individual circumstances. It considers the possibilities of measuring both specific activities and general behavior in general. These tools can be: 360-degree feedback tool, analysis of the results of the survey of people, including negative and positive comments, learning and development results, measures taken and realized goals at the level of departments/regions, special departmental/local information and cultural audit.

Performance is officially assessed in the middle and at the end of the year, and not officially and continuously assessed throughout the year through regular performance reviews. Performance analysis is part of an ongoing process and provides an opportunity to determine the correct focus of the employee's goals, his work and any short/long term development needs. Goals are reviewed regularly and at least quarterly.

As part of the performance assessment, managers should consider how the employee is progressing and the extent to which the standards of conduct set out in the Framework of Competence have been demonstrated.

In the UK, the pandemic has served as an "incredible catalyst" for reform, and the public sector's quick response has shown how much change is possible. " The government realized that to respond effectively, organizations need "the right leadership, culture, governance and processes" to be able to "change direction quickly" by changing strategies, budgets and services as their missions are changing. Governments face a threefold challenge: to introduce a mindset of continuous adaptability; re-adjust the culture of how state bodies plan, think and work; create a "structure of flexibility" —to move from a culture of confidence to a culture in which people embrace change.<sup>105</sup>

USA:

The Office of Personnel Management provides organizational support for the management of competencies and performance of civil servants in the United States. Professional development is based on improving the competence of leadership and Executive Core Qualifications. Federal institute governing the senior civil servants assists to raise the effectiveness of organizations. There are Leadership programs for the Democratic Society, as well as specialized programs for certain departments, interdepartmental programs. The HR Department has developed five key leadership qualifications and relevant leadership competencies. The latter allows you to identify potential leaders, develop individual development plans, and draw up training programs.

All members of the Executive Service (ES) are recommended to have an Individual Development Plan with clearly defined goals: short-term -aimed at mastering professional and managerial skills, and long-term -related to the development of their creativity.

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<sup>105</sup> Civil service transformers: adapting to a changing world //

<https://www.globalgovernmentforum.com/civil-service-transformers-adapting-to-a-changing-world/>

An employee's career in the United States as an object of planning and management significantly affects the stability of personnel, the adaptation of new employees, the motivation to master new professions and to improve skills.

In the United States, various business career planning programs have been developed and implemented. A distinctive model for the United States is considered to be a business career model, when it is immediately planned to regularly change jobs, approximately every five years, even in a prosperous period in terms of the economic cycle, and these changes are often associated with moving to another city, changing housing. The management considers the transfer of the employee to another place as a natural option for the development of his business career. This approach is called diversified. On the one hand, executives take pride in the success of their departing employees elsewhere. On the other hand, long-term work is the best recommendation and a guarantee of getting a new job.

Experts-analysts on the development of human resource management have come to the conclusion that it is important to train future leaders for a long time, and not to invite from the existing managers, this is one of the most important conditions for the prosperity of an organization in the long term.

In the United States, the focus is on the narrow specialization of managers. Specialists, as a rule, are professionals in a narrow field of knowledge and therefore their advancement along the management hierarchy occurs only vertically. This limits the possibilities of moving up the levels of management, which causes the turnover of management personnel, their transfer from one place to another.

The experience of planning and managing the business career of personnel in organizations shows that it is possible to plan the management of the business career of employees for various periods.

Depending on the planning horizon, i.e. the period for which the task/project should be completed, distinguish between operational forecasts (up to one month), short-term (from one month to one year), medium-term (from one year to five years), long-term (from five to 15-20 years) and long-term (over 15-20 years).

The strategic planning horizon depends on the dynamics of the region's external environment, on the actions of internal factors that change the strategic environment in which the accumulation and use of human capital is carried out.

Chapter 43, Title 5 of the United States Code provides for performance management for the Senior Executive Service (SES), establishing SES performance appraisal systems, and evaluating senior management performance. State bodies establish performance management systems that hold senior managers accountable for their individual and organizational results in order to improve overall government performance by:

- rewarding the best results in the work of senior managers;
- aligning work plans with the results-oriented objectives of the Government Performance and Results Modernization Act 2010 (GPRAMA) or other strategic planning initiatives;
- establishing and communicating individual organizational goals and expectations that fall under the responsibility and control of the manager;



- reporting on the successful achievement of the organization's objectives (including any factors that could affect success);

- systematically assessing top management's performance using metrics that balance the organization's performance from the perspective of customers and employees, and other perspectives as appropriate;

- the use of performance results as a basis for making decisions on remuneration, rewarding, development, retention, dismissal and other personnel decisions.

State bodies develop performance management systems in accordance with the rules approved by the Office of Personnel Management (OPM).<sup>106</sup> They should contain 5 summary levels of performance:

- outstanding level;
- fully excessive level;
- fully successful level;
- minimally satisfactory level;
- unsatisfactory level.

The leader sets the elements and requirements for performance and alignment with performance objectives and expectations as part of the state body's strategic planning initiatives. The manager offers initial bottom-line results based on both individual and organizational performance, customer satisfaction and employee prospects.

The initial concluding results are reviewed by the Performance Review Board. The head of the agency determines the annual consolidated rating of the management.

The head of the agency approves the performance awards based on the final aggregate ratings as recommended by the Agency Performance Review Board. The size of the individual bonus should be between 5 and 20 percent of the base rate of the executive's remuneration. Institutions can rely on budgetary planning when deciding on the number and size of awards to be awarded, subject to regulatory and legal requirements. The charter limits the total agency bonus to 10% of the total base salary for newly appointed civil servants by the end of the fiscal year.

The government is making a lot of efforts to improve the efficiency of civil servants. They believe that one of the biggest challenges facing federal sector leaders and supervisors is taking operational measures to manage staff that do not meet performance expectations and do not contribute to the achievement of agency goals. Managers and supervisors may not take full advantage of the many opportunities to address work or behavior problems. They can take action against employees, up to and including suspension from work.

To properly organize this work, OPM has adopted the Guidelines for Managing Performance Problems or Misconduct at Work for Federal Officials<sup>107</sup>. It provides HR services, managers, and executives with a broad overview of the various tools that can

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<sup>106</sup> Policy, Data, Oversight. Performance Management // <https://www.opm.gov/policy-data-oversight/performance-management/>

<sup>107</sup> Managing Federal Employees' Performance Issues or Misconduct // <https://www.opm.gov/policy-data-oversight/employee-relations/reference-materials/managing-federal-employees-performance-issues-or-misconduct.pdf>

be used to manage employee performance and resolve problems related to inappropriate performance or inappropriate behavior. It highlights the tools typically available to executives and oversight bodies to deal with problems of misconduct or performance.

There are two formal procedures that a manager can use to address an issue of unacceptable performance to cope with a sufficient level of employee performance. First and foremost, the manager should work with HR to determine appropriate problem-solving procedures and the appropriateness of including the employee in the Performance Improvement Plan (PIP), which is a specific, measurable action plan. The Labor Relations staff guides the supervisor on the specific regulatory requirements of the process, together they determine the duration of the PIP, this depends on the position held and the results of the employee's performance assessment.

PIP includes the following parameters:

- a critical element of employee inefficiency;
- specific examples of the manifestation of a critical element of employee inefficiency (optional, but recommended);
- determination of the minimum acceptable level of required performance;
- determination of actions that lead to efficiency of work;
- specific tools and support that must be provided to help the employee improve;
- PIP duration;
- the consequences of failure to improve efficiency to an acceptable level.

During the PIP implementation period, the manager must document the assignments and instructions given to the employee. In addition, the manager should document the assistance provided to the employee and monitor the employee's performance to determine if its performance is being raised to an acceptable level.

If an employee's performance does not improve to an acceptable level upon completion of the PIP, the manager, in consultation with HR, should determine the action to be taken. He can reassign an employee, demote or fire an employee. Demotion or dismissal decisions can be appealed to the Merit Systems Protection Board.

According to American experts, the global pandemic has made it clear that the general schedule and the usual steps for job classification are obstacles to flexible talent management.<sup>108</sup> State and local authorities have recognized that universal policies do not fit the new environment, and retention of key workers is of particular importance. Flexibility is key to getting government operations back to "normal". While spending on COVID-19 has depleted the state budget, the government has acknowledged that the focus should now be on employee support and increased use of HR tools to make their work even more productive.

Georgia:

The Georgian civil service, including the performance appraisal system for civil servants, has gone through many reforms since the country's independence was restored. On November 1, 2015, a completely new law "On Civil Service" was adopted, the key provisions of which came into force on January 1, 2017. Prior to these reforms,

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<sup>108</sup> The Civil Service System is Another Pandemic Casualty. The need for a new work management paradigm has never been more obvious // <https://www.govexec.com/management/2020/04/civil-service-system-another-pandemic-casualty/164996/>

Georgian legislation in the field of civil service regulated only the rules for attestation (certification) of civil servants, which was a tool for assessing the performance of a civil servant for a certain period and identifying the level of quality of his work. The results made it possible to identify new service goals and the likelihood of developing professional competence for promotion.

The certification was aimed at assessing the degree of implementation of professional skills, qualifications and personal qualities of a civil servant, taking into account the requirements for the position, thereby determining the level of efficiency of a civil servant. Methods, forms of assessment and testing procedures were established by a special certification commission together with the head of a state institution, taking into account the specifics of the work of a particular employee. Testing and interviewing were used as methods. Based on the certification results, one of the following decisions was made:

- 1) a civil servant corresponds to the position held and can be promoted to a higher position;
- 2) the civil servant corresponds to the position held;
- 3) a civil servant partially corresponds to the position held and needs special training;
- 4) the civil servant does not correspond to the position held.<sup>109</sup>

High results could be the basis for the payment of bonuses and an increase in the category of remuneration.

The certification was applied to an employee once every three years, as well as to a candidate for the position of an employee, if this position is to be filled by competition.

However, this identification of attestation and performance assessment of a civil servant has been criticized. Since this implied the absence of a standardized system for assessing the effectiveness of work in the Georgian state institutions and departments. Attestation, firstly, did not give a proper assessment of the activities of a civil servant. Secondly, if the process were to measure a person's performance against targets, the three-year period between assessments would be too long by comparative standards. Thirdly, state bodies carried out certification in almost the same way as the competition, that is, through exams and interviews. The Georgian system needed a clear, fair, transparent and accessible performance appraisal system.

The new law abandoned certification and introduced an assessment system. Accordingly, in order to ensure the career development of an employee and identify the needs for professional development, stimulate and improve the relevant qualifications, state institutions are obliged at least once a year to assess employees of all ranks and the work they perform in accordance with the Resolution of the

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<sup>109</sup> Performance assessment of civil servants in the context of combating corruption: the experience of the countries of the Regional Hub. - Academy of Public Administration under the President of the Republic of Kazakhstan. Astana:2014 // [https://www.astanacivilservicehub.org/uploads/research\\_pdf/performance-appraisal-1.pdf](https://www.astanacivilservicehub.org/uploads/research_pdf/performance-appraisal-1.pdf)

Government of Georgia on the Procedure for Assessing Professional civil servant work". Probationary employees are also subject to a quarterly performance appraisal.

Table 4.1. - Assessment method

Assessment procedure	Four stages: 1) work planning and target coordination; 2) control over the performance of work; 3) evaluation of work; 4) reflection of results in the work of a civil servant
Three assessment methods	self- assessment; interview, assessment by the direct supervisor; 360 degree assessment
Criteria	a) the quality of achieving individual goals defined by the target agreement; b) the quantity, quality and complexity of the work performed; c) individual / communication skills of a civil servant
Note: compiled by the authors	

The results of the assessment are reflected in the performance of the civil servant, in particular in the needs of his career advancement, incentives and professional development.

A civil servant has the right to appeal the results of the assessment if he believes that the results of the assessment are not objective or fair in relation to him, and / or believes that his rights were violated during the assessment process.

The assessment process is carried out with the involvement of the employee's immediate supervisor, and a four-level assessment system is applied:

- Better assessment of work performed - responsibilities were performed in the best way and / or more work was done than expected;
- Good assessment of the work performed - duties were performed well;
- Satisfactory assessment of the work performed - duties were partially performed well, improvement was required;
- Unsatisfactory assessment of the work performed - failure to perform duties.

The work performed by the employee is evaluated both in writing and by interview. An employee's refusal to assess the work performed is considered a gross

disciplinary offense. The state body is obliged to submit to the CSB (The Civil Service Bureau) an assessment report on the work performed by the employees.

In 2018, all civil servants subject to assessment were assessed based on the employee assessment methodology adopted by the relevant government authorities. The results of the assessment were reported to the CSB as of January 31, 2019. During 2018, 11,455 civil servants were assessed. 5430 of them were rated as the best, 5850 of them - as good, 165 as satisfactory and 10 as unsatisfactory. Among the officials assessed, 7,433 employees received cash bonuses, 502 employees received letters of appreciation and 43 employees received valuable gifts.

CSB supports the systematic implementation of performance appraisals in state bodies. In order to improve the feedback process during the certification of civil servants, CSB and UNDP have initiated training for human resource management units of central government agencies in "complex negotiation skills".<sup>110</sup>

Japan:

Business career planning in Japan is focused on life-long hiring of employees, which means that all movements of an employee (change of fields of activity, horizontal and vertical movements) occur within one organization.

Often in Japan, with the appearance of vacancies, an internal competition is first announced for filling a position (among its employees) and only in case of negative results, specialists from outside are invited to participate in the competition. This improves the moral climate in the team, strengthens faith in their organization. Much attention is paid to working with the reserve. There are so-called matrices of transfers, which reflect the current position of each leader, his possible movements and the degree of readiness to take such a position (ready to take immediately, will be ready in a year, will be ready in two years, but for this it is necessary to improve skills in such and such areas etc.).

The Japanese firmly adhere to the opinion that a manager should be a specialist capable of solving issues in any field of activity, and not in any particular function. Climbing the career ladder, a person should be able to look at the organization from different angles without staying at one stage for more than 3 years.

The analysis of foreign experience shows that in many countries, such as Great Britain, Georgia, the basis for assessing the efficiency and productivity of employees are clusters of competencies, as well as models of key qualifications.

They make it possible to fill a lack of general knowledge (for example, oral and written communication, interpersonal skills) or a lack of competencies in areas related to the main activity of a civil servant (for example, professional development in financial management for non-financial professionals).

They also provide an opportunity to gain more specific specialized knowledge directly related to the official duties of a civil servant (for example, advanced training in the field of the budget process at the federal level). This approach allows civil servants with different basic education to acquire the necessary skills and knowledge and perform their duties more effectively.

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<sup>110</sup> LEPL Civil Service Bureau Activity Report 2019// The Civil Service Bureau, Georgia

### 4.3 Research methods

The research used the methods of systemic, logical and comparative analysis, SWOT analysis, the method of expert assessments with in-depth interviews.

*Analysis of the state of the system for assessing the effectiveness of administrative civil servants in corps "B".*

Assessment of the performance of civil servants is a key factor in improving the functioning of the organization and the employee himself.

The civil servant, being the main resource element of the civil service, is a dynamic system that links the process of functioning and effective use of the resource potential of government agencies.

Assessment of the performance of civil servants is based on Article 33 "Assessment of the performance of civil servants" of the Law of the Republic of Kazakhstan dated November 23, 2015 No. 416-V "On the civil service of the Republic of Kazakhstan".

The Agency of the Republic of Kazakhstan for Civil Service Affairs approved "Typical methodology for assessing the activities of administrative civil servants of corps "B" "according to the order dated January 16, 2018 No. 13 "On some issues of assessing the performance of administrative civil servants."

An innovation in Assessment activities employees building "B" are directions, carried out estimates:

- 1) appraisals achievements key target indicators (KTI);
- 2) appraisals competencies employees building "B".

*Analysis of the first direction of the assessment "Achievement of key target indicators (KTI)".*

One of the conditions for assessing civil servants is the presence of indicators. Indicators are metrics that measure achievement and reflect changes that occur as a result of work. Indicators allow you to answer the question of how the goal has been achieved, that is, it compares actual results with planned ones.

There are general rules for describing indicators, which include:

- Short name and definition (exact and unambiguous answer to the question of what this indicator is).
- A description of what exactly this indicator is measuring. It may be needed if the definition does not provide sufficient information for users.
- Brief description of the measurement technique (answer to the question of how to determine the value of the indicator). It may be needed if civil servants independently make measurements using the recommended technique or tool.

When describing the indicator, it is worth mentioning:

- wording;
- unit of measurement;
- initial value and increase or decrease or target value;
- method of collecting information;
- verification tool/where data is stored;
- measurement frequency (when monitoring);

- the person responsible for collecting information on the indicator.

It is advisable to divide indicators by levels:

- goal level - indicators of influence;
- task level - indicators of social outcome;
- level of activities
- indicators of immediate results.

Indicators are needed:

- project executors to understand if they are achieving the planned result;
- leaders of organizations to understand whether employees are performing well;
- the public to be confident in the efficient use of funds;

At the same time, the KTI is determined by the direct supervisor of the civil servant. How competent is the direct supervisor in describing and measuring the competence of a subordinate?

Achievement of key target indicators is associated with the implementation of the strategic plan of the state body or based on the specifics of the activities of an employee of Corps B.

In this case, strategic planning should be carried out vertically, taking into account the decomposition of goals from the activities of the body to the goals of a particular employee. It is the decomposition of the goals of a state body that underlies the formation of a system of performance indicators for a particular civil servant

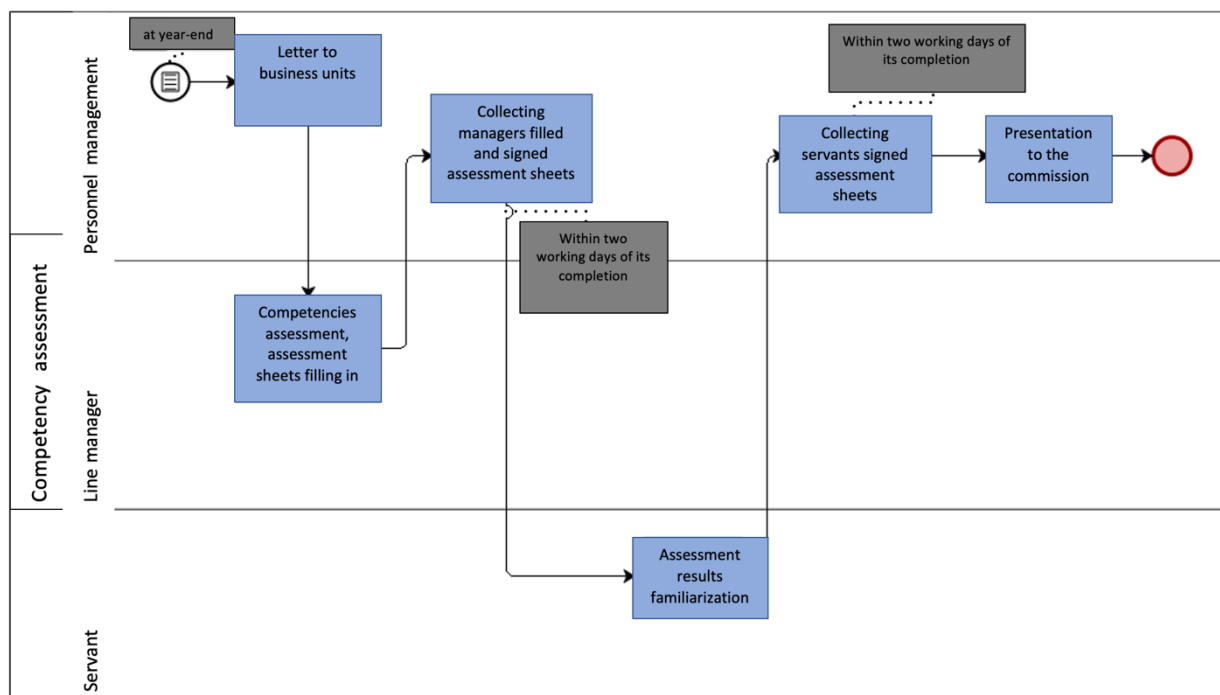
At the same time, it is advisable to involve various public institutions in such planning, since, ultimately, the purpose of the activities of civil servants is, among other things, the implementation of a wide range of activities aimed at jointly implementing programs, projects, activities and initiatives with these entities.

As the results of the expert survey show, civil servants determine the KTI when drawing up an individual work plan, they independently proceed from the strategic goals of the state body, from the tasks facing the management and the department and coordinate them with the management. However, experts note that in some cases, the participation of civil servants themselves in the process of developing the IDP is formally, the leaders themselves determine the key target indicators. As the analysis of individual work plans has shown, KTIs often mirror the functional responsibilities of employees. Often, civil servants are guided by what exactly can be achieved to determine the five KTIs; accordingly, unattainable indicators are not prescribed.

#### *Analysis of the second direction "Assessment of competencies"*

The assessment of competencies, according to the Standard Methodology, is carried out by the immediate supervisor. The level of development of an employee's competence is determined by the number of behavioral indicators that appear in the employee's activities during the assessed period.

The current model of the process of assessing the competencies of administrative civil servants is shown in Fig.25



Note: compiled by the authors

Figura 4.2 - Current model of the process for assessing the competence of administrative civil servants

As can be seen from Figure 25, the initiation of the process of assessing the competencies of administrative civil servants takes place in the Personnel Management Service (PMS).

Competencies are assessed by the employee's immediate supervisor by filling out the appropriate assessment sheet.

Nevertheless, despite the ongoing administrative reforms, the current system requires improvement in terms of focusing on results, rather than on traditional bureaucratic guidelines.<sup>111</sup>

As the results of the expert survey show, there are no clear tools for determining compliance behavioral indicators when assessing the competencies of a particular civil servant. This is determined mainly through analysis and observation from the manager and HR departments. Some experts noted that conformity behavioral indicators are determined through testing and questionnaires.

At the same time, experts note that the methodology for assessing competencies should differ depending on the level of activity of a civil servant. It is necessary to add competencies such as leadership, change management, strategic personnel planning, project management, innovative competencies, strategic and critical thinking, professionalism, ability to help, speaking, storytelling, resistance to stress, ability to hear colleagues, developing a strategy for the development of a state body, communications, etc.

Experts believe that for top management proficiency in at least English, confirmed by recognized testing systems, advanced training in international professional

<sup>111</sup> Kuralay K. SADYKOVA, Alma E. KULZHAMBKOVA, Timur T. ABILMAZHINOV. Approaches to Effective Use of Human Resources in Public Service // Journal of Advanced Research in Law and Economics. – Summer 2017. – Volume VIII, Issue 4(26). – 1386-1393 p.



certification, professionalism (good understanding of the regulatory area), assessment of management skills, knowledge of the state language, project management, self-development, correct distribution and coordination of the activities of the entrusted departments, should be mandatory, level of preparation of documents, optimization of work. In general, the effectiveness of a department, management or other unit largely depends on the competencies and abilities of the leader in organizing activities. For top management, it is suggested to include indicators such as the ability to make important decisions, flexibility, diplomacy, as well as requirements based on I. Adizes - administrator, integrator, innovator.

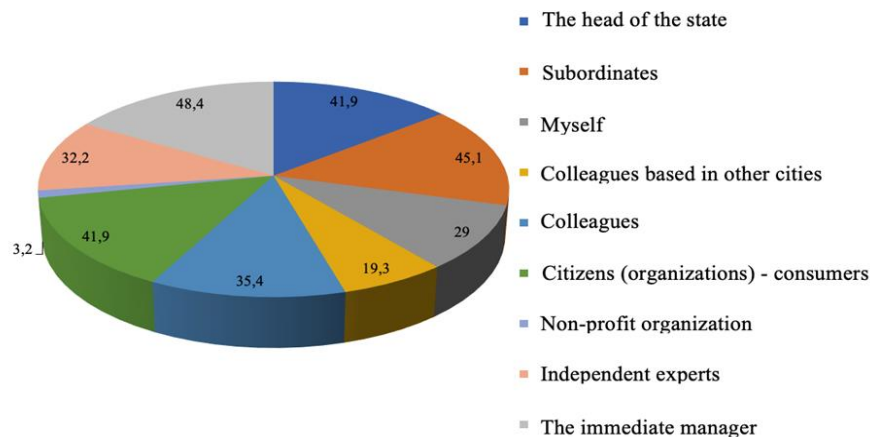
For mid-level civil servants, it is proposed to introduce competencies in basic and differentiating competencies in accordance with the ERC. At this level, competencies aimed at the development of imaginative and spatial thinking, innovation, awareness, time management, teamwork skills, the ability to work with big data, project management, etc. should be defined. Namely: the ability to solve mathematical and logical problems, as well as tasks aimed at testing and developing imaginative and spatial thinking, in other words, for the middle level there should be criteria for intellectual development; international certification; professionalism, responsibility, motivation to work, submission of income tax returns; initiative and activity; knowledge of the state language, decision-making, efficiency, self-development; the abilities and real knowledge of the candidate for the position of a civil servant, his awareness, experience, the ability to make deliberate decisions, the ability to think outside the box, analyze problems, find the best ways to solve them; diligence, decision-making; initiative, analytics; level of responsibility and initiative; critical thinking; ability to manage projects, confirmed by the assessment of practical effects, as well as understanding of IT, change management, creative thinking; work experience, time management skills; skill to work in team; responsibility, performance; depending on the activity being carried out, all competencies must be developed; besides the generally accepted diligence, innovation, and possibly mentoring; cooperation, interaction with other spheres, public speaking; interchangeability; activity, awareness; project management, leadership, analytical and organizational skills, consistency, ability to work with big data, graphs, tables, text, etc.

For performers, it is proposed to include cooperation and communication, performing discipline, possession of ethical norms and culture of behavior, pursuit of knowledge, operational efficiency, etc. Namely: basic and differentiating competencies according to the Competency Framework; proficiency in the state language at a high level; national professional certification; professional training; pursuit of knowledge and soft skills; the level of satisfaction of the population; performance of work in accordance with job responsibilities, monitoring and Assessment and central authority, adherence to strategic plans and programs and verification; efficiency, self-development; possess ethics and culture of behavior, commitment to public service, special education, availability of a specialized certificate, diligence; initiative; performing discipline, the ability to use legal and regulatory instruments (LRI); fast learner; teamwork; creative thinking; operational efficiency, cooperation and communication; a responsibility; analytics writing skills, analysis, collaboration;

responsibility for the proper performance of functional duties; customer orientation, ability to work with graphs, tables, text, etc.; terms of execution and composition of orders, namely its analysis.

The experts named, first of all, the immediate manager (48.4%), subordinates (45.1%), the head of the state body (41.9%), consumers of services (41,9%). This is followed by work colleagues (35.4%), independent experts (32.2%), myself (29%).

The expert opinion on the subject of the assessment is presented in Fig. 26.

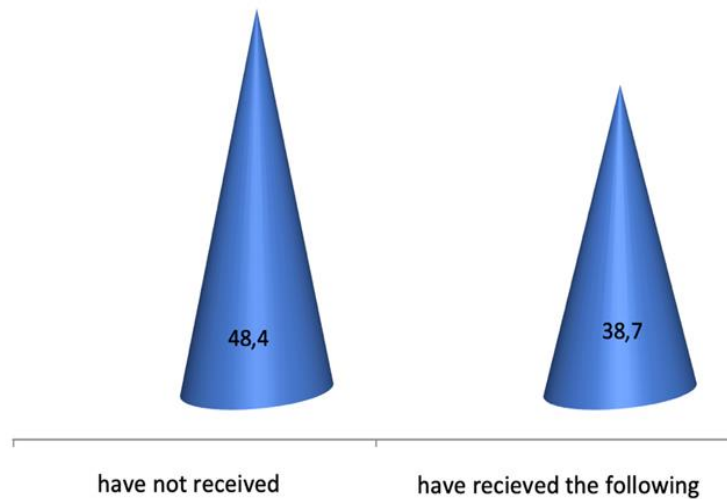


Note: compiled by the authors

Figura 4.3 - Rating of the subjects of the expert's work assessment

In addition, the experts noted that the assessment methodology should not be formal, but real and effective, periodically filled in by the IDP and KTI are formal, nothing depends on them, their effect is not noticeable. There are cases when personnel services simply lose them and their restoration does not require any special efforts, they are filled retroactively, this does not lead to any results. Based on the results of the assessment, it is necessary to use an incentive tool in the form of reward or punishment.

At the same time, as it became known, according to the results of the quarterly monitoring conducted by the head on the achievement of key target indicators, civil servants do not receive any recommendations. As practice has shown, in some state bodies this monitoring may not be carried out or recorded, since there is no clearly defined mechanism and form for reporting it. Civil servants note that six-month monitoring is considered sufficient.



Note: compiled by the authors

Figura 4.4 -Information about getting recommendations

In the state bodies where the interviewed experts carry out their activities, if the activity of the civil servant does not correspond to the behavioral indicators provided for a specific competence, the following measures are taken to develop the competence of the employee through training seminars, trainings, refresher seminars; the direct supervisor conducts an individual conversation with this employee, gives recommendations on improving competence, behavioral indicators, increasing efficiency, sent to training; disciplinary measures are taken, penalties are taken, rotation is made; explanatory work is carried out to improve the activities of a civil servant; recommendations are made; a discussion is held in the team with the introduction of specific proposals to prevent such facts. However,

- Civil service legislation strongly protects civil servants and it is almost impossible to fire incompetent employees;
- this work is not carried out regularly;
- there are no such cases;
- none, penalties are imposed for failure to meet deadlines;
- warning, disciplinary committee, reprimand, depending on the level of non-compliance;
- a conversation with a civil servant with an analysis of his behavior / work and discussion of the reasons. In case of leading to non-fulfillment of instructions, disciplinary liability is considered.

To determine the need for conceptual changes in the assessment methodology (in the procedure, criteria, indicators, etc.), the experts were asked a corresponding question.

Among the required changes, according to experts:

- reorientation of performance assessment from achieving quantitative indicators to qualitative ones;

- changing the system of state planning, streamlining functions, then setting the KTI of employees based on the tasks;
- introduce an assessment of initiative and creativity;
- the use of an incentive tool in the form of reward or punishment following the assessment
  - a separate assessment system for each government agency according to the specifics of the work;
  - digitization of the assessment based on the work done in the additional liability company (ALC);
  - it is necessary to develop new Assessment criteria, since practice shows that the work of government agencies has significantly improved and became more efficient since the assessment;
  - you need to use the corporate experience of assessing efficiency on the example of successful companies and cases;
  - in clearer indicators and Assessment of work by the immediate supervisor;
  - it is necessary to develop new Assessment criteria, since practice shows that the work of government agencies has significantly improved and became more efficient since the assessment;
  - the assessment methodology does not need conceptual changes.

#### 4.4 Research results

Analysis of the current Standard Methodology and the results of the expert survey reveal the following picture.

Table 4.2. - SWOT analysis

<p style="text-align: center;"><b><i>Strengths:</i></b></p> <p>Existence of a regulatory and legal framework            Assessment of the performance of civil servants is mandatory            Competence promotion and development tool</p>	<p style="text-align: center;"><b><i>Opportunities:</i></b></p> <p>Application of public assessment by citizens to the activities of civil servants who do not provide public services, which will increase the level of openness and transparency of the activities of civil servants            Application of public audit            Possibility, based on the assessment results, to adjust the personal development plan</p>
<p style="text-align: center;"><b><i>Weaknesses:</i></b></p> <p>Labor intensity            There are no options for changing the set of indicators            General set of competencies without taking into account the specifics of the position            Biased assessment in the opinion of civil servants</p>	<p style="text-align: center;"><b><i>Threats:</i></b></p> <p>Rejection of the technique            Lack of human resources PMS            Limiting feedback that prevents civil society from engaging in the assessment of civil servants            Lack of effect from assessment results</p>

Determination of indicators without the participation of the civil servant himself Lack of a ranked approach to assessing competencies	
Note: compiled by the authors	

Along with the above, it is necessary to note the existing shortcomings of the current typical methodology for assessing the performance of administrative civil servants in Corps B.

Thus, the results of the study indicate the dissatisfaction of administrative civil servants with the current system for assessing their performance.

Experts note the concern about the current system for assessing the performance of administrative civil servants.

Among the reasons for the concern of the respondents are the following:

- doubt that the assessment of work efficiency will be correctly given;
- frequent change of employees, since the remuneration does not correspond to the work performed;
- high requirements for the quality of work;
- the absence of criteria for the effectiveness of the work of a civil servant;
- fears of bias and subjectivity in the assessment.

Thus, the following critical shortcomings of the *Generic Assessment Methodology* should be noted:

*Lack of professional interpretation of behavioral characteristics to assess the level of development of competencies.* Today it is carried out by the head of the employee, in connection with which the concern of employees with a possible subjective approach to assessment is justified. The manager is not trained and does not know how to correctly analyze the competencies of employees, and therefore his conclusion may be subject to frequent criticism and doubts.

*Competency assessment is not linked to the professional development of civil servants.* Typical technique clearly determined that "the results of the competence assessment are the basis for making decisions on the development of the necessary competencies for an employee of Corps B, "but, at the same time, it is not indicated how this should be done. This norm is not fully implemented in practice today - the assessment results do not affect the professional development of civil servants.

According to international practice, after assessing the competencies, it is necessary to draw up an individual plan for the development of competencies, which currently does not occur in the civil service of Kazakhstan. The effectiveness of the civil servant's activities should be interconnected with the strategy of state bodies for the professional development of their employees. The assessment of competencies should be systematically interconnected with the professional development of a civil servant and his career growth. At the same time, the *Methodology* indicates that the results of the competence assessment are the basis for making decisions on the development of the necessary competencies for the employee.

In accordance with the Standard Methodology, the results of assessing the implementation of the KTI are the basis for making decisions on the payment of bonuses, incentives, rotation, demotion or dismissal.

The results of the competence assessment are the basis for making decisions on the development of the necessary competencies for the employee of Corps B. At the same time, the results of the competency assessment do not affect the payment of bonuses, incentives, rotation, demotion or dismissal.

At the same time, in accordance with the Standard Methodology, the results of the assessment of the implementation of the KTI and the assessment of competencies cannot serve as a basis for making decisions about the career development of an employee.

На законодательном уровне не урегулированы вопросы карьерного The issues of career planning for administrative civil servants are not regulated at the legislative level. Prior to the introduction of amendments, the Law "On the Civil Service of the Republic of Kazakhstan" defined the concept of career planning as a process focused on defining stages of job transfer and professional development of an administrative civil servant of Block "A" and the Assessment results were the basis for making decisions on bonuses, incentives, training, career planning, rotation.

Career planning tools were not used for civil servants in Block B.

However, the Law of the Republic of Kazakhstan dated November 26, 2019 No. 273-VI ЗРК "On Amendments and Additions to Certain Legislative Acts of the Republic of Kazakhstan on Civil Service and Anti-Corruption Issues"<sup>112</sup> the institution of career planning for civil servants was completely abolished.

*The level of achievement of key targets does not affect the remuneration of civil servants.*

According to international experience, the degree of achievement of KPI (key target indicators) of each employee affects the level of his salary and bonus payments. To date, there is no such linkage in the Generic Assessment Methodology.

## **Conclusions and recommendations**

As the analysis has shown, the assessment of the development of the personality of an employee as a professional, the growth of his competence and the associated official promotion and passage of the civil service in general are not today the object of systematic and comprehensive attention of HR specialists.

In this regard, we propose the adoption of the following comprehensive measures:

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<sup>112</sup> Law of the Republic of Kazakhstan dated November 26, 2019 No. 273-VI ЗРК "On Amendments and Additions to Certain Legislative Acts of the Republic of Kazakhstan on Civil Service and Anti-Corruption Issues

1. Strategic planning should be carried out vertically, taking into account the decomposition of goals from the activities of a state body to the goals of a particular employee<sup>113</sup>.

2. Implementation of KPIs and setting SMART<sup>114</sup> goals. Currently, this provision is not fully operational. It is necessary to introduce the Balanced Indicators System in the state bodies (strategic and program documents of the state - strategic and program documents of the state body - KPI of structural units - KPI of each civil servant).

The institution for assessing the performance of civil servants should be considered as a link in the unified system of civil service. A systematic approach and the elimination of fragmentation will predetermine the success of its implementation.

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3. Development of an individual employee competency profile, which is not a basic indicator for assessing his performance.

4. Conducting an assessment based on performance and competencies.

5. It is advisable to link the performance assessment with the system of material incentives.

6. Assessment of competencies should be carried out on the basis of a competency cut, and also take into account the results of an individual development plan.

7. Employees who have shown the best results based on the assessment of competencies, over a certain period, should be included in the personnel reserve.

8. One of the mechanisms for increasing the efficiency of civil servants is to build the assessment system into the career planning system. In this regard, it is necessary to introduce the development of a career chart and individual career plans for reservists.

A key aspect of the implementation of these proposals is the functional competence of personnel services employees in government agencies and heads of staff.

In this regard, the formation of competencies in the field of professional development management among managers and specialists empowered to resolve personnel issues, as well as other employees involved in the implementation of personnel procedures.

To do this, it is necessary to establish a requirement for such specialists to have qualifications in the field of personnel management, as well as organize their training, retraining and advanced training, including the study of problems and technologies for managing professional development.

Pay attention to the current control system. In modern conditions, when the burden on the civil service is increasing, it is necessary to take into account the existing capabilities of the Personnel Management Services when preparing for the assessment procedure. The size of the staffing of the state body depends on the need to attract assessment experts who would provide consulting, methodological and organizational

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<sup>113</sup>Key performance indicators. 75 indicators that every manager should know / B. Marr; lane from English. A.V. Shavrina. - M.: Laboratory of Knowledge, 2019. - 340 p.

<sup>114</sup> Panov M.M. Assessment of activities and management system of the company based on KPI. M.: Infra-M, 2013. - 255 p.

<sup>115</sup> The quality of public administration (Worldwide Governance Indicators). The World Bank Group // <https://gtmarket.ru/research/worldwide-governance-indicators>

assistance in conducting a comprehensive assessment. Of course, the complexity of the procedure and the coverage of indicators that need to be applied to civil servants makes it difficult to implement it on time and with a minimum amount of errors, given the limited number of staff at the PMS.

The results of assessing the performance of civil servants could serve as a basis for career planning and growth. Career planning is one of the means of attracting talented and highly qualified specialists to the civil service, meeting the needs of the state body in professional personnel and stimulating existing employees to achieve high-quality work results.

For a civil servant, career planning serves as a certain trajectory of his career movement, an impetus for the development of his competencies and contributes to the disclosure of his inner potential for successful career growth.

As world experience shows, career planning is carried out in two directions. The first direction is managerial, while the career movement of personnel is carried out in accordance with the established rules and plans within the organizations. This helps to stimulate the work of employees and their professional development, the staff has a clear idea of career opportunities in the implementation of certain goals and achievement of the appropriate level of competence. At the same time, there is a branched scheme for the movement of workers both vertically and horizontally.

The second direction of career planning is personal or individual, where each employee independently determines the trajectory of professional development and the realization of career growth potential, taking into account the specifics of his activities and individual needs and characteristics. Individual career planning is an integral part of organizational career planning and promotes the involvement of each employee in the development of career processes within organizations.

At the same time, an individual career plan for a specific employee is drawn up, which reflects his specific goals of career advancement for a certain period and the measures taken by the employee to achieve these goals. An individual career plan structures information about the professional development of an employee, makes it possible to take into account his specific achievements and take measures to develop personnel.

As noted, career planning tools are not used in the civil service of Kazakhstan. In our opinion, the results of the assessment should serve as the basis for the individual career planning of civil servants, and when developing an individual work plan, the employee should be guided by the competencies that require development. At the same time, the career planning of a civil servant should imply not only job transfer, but also the stages and methods of professional development.

OECD experts noted the possibility of measuring the role of performance assessment by analyzing its impact on the career opportunities of civil servants, remuneration or contract renewal. "Surprisingly, despite the fact that in the vast majority of OECD countries there is a mandatory performance assessment, the impact of its results is not always clear, at least by legal criteria. Having positive ratings is very important for career advancement and reward. In Kazakhstan, performance



assessment can have a large impact on career growth, remuneration and contract renewal for Block “A” civil servants.<sup>116</sup>

The system of career planning and professional development of a civil servant:

Stage 1. Defining career goals:

- determination of development directions and levels of competence in the position held for the current period (1 year);

- determination of development goals for career growth in the long term (5 years).

Stage 2. Career plan agreement:

- agreement with the immediate manager of career goals for the current period and in the long term;

- drawing up a career development plan with an indication of measures to achieve career goals.

Stage 3. Implementation of a career development plan.

Stage 4. Assessment of the results of the career development plan.

Career planning allows you to track periods of implementation of specific development goals of a civil servant and set tasks for entering a new development cycle, monitor the implementation of current and long-term goals, analyse your strengths and weaknesses, determine the level of development of competencies and new goals for development.

Thus, it must be concluded that along with the high potential of a competency-based approach to assessing the activities of administrative civil servants, the current assessment system requires fundamental changes in order to ensure transparency and objectivity.

Of course, in the assessment it is important to choose the correct criteria and assessment methods, but it is also necessary to competently organize the assessment process itself, it is necessary to automate through the E-Kyzmet system the entire process of assessing the performance and using its results to stimulate the most effective employees.

To date, the "E-Kyzmet" system has a subsystem "Assessment of the activities of civil servants", but it is incomplete. It works properly, but according to the old method of quarterly assessment.

*Process automation* will allow minimizing the cost of conducting an assessment, localizing it at the level of personnel management services, assessing the performance of a civil servant as objectively and quickly as possible and keeping records of the performance of a civil servant.

Subsystem "Assessment of the performance of civil servants" should consist of the following functions:

1. Planning. In this function, there will be the possibility of drawing up individual work plans by civil servants in electronic form, automated collection of individual work plans of employees, indication of all data on planned key target indicators.

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<sup>116</sup> Comparative analysis of the civil service reform in Kazakhstan. OECD, 2018 .-- 186 p.

2. Reports. In this function, employees prepare reports based on individual work plans in electronic form and automatically collect reports from the entire state body.

3. Performance assessment. Automated assessment of the performance of civil servants based on the achievement of KPI and the level of competencies.

Thus, the assessment of the activities of employees of Block B of the Administration of the President of the Republic of Kazakhstan is carried out in accordance with the automated assessment system of the Presidential Administration; its implementation. The same automated systems should be implemented in all state bodies of the Republic of Kazakhstan.

In addition, it is necessary to provide for the possibility of adjusting the approved IDP once a year, since the pandemic has shown that not always the key target indicators can be achieved due to external factors that do not depend on the decisions of state bodies. In accordance with the current Methodology, the IDP of civil servants is approved by January 10 of the year assessed. At the same time, there is no possibility of correcting the IDP data during the year in case of force majeure. So, for example, during a pandemic, control and supervisory structural units in government agencies did not achieve the planned results due to the pandemic. If they planned to check 10 sites this year, because of the pandemic they checked only 2 sites and thus did not reach the planned targets.

In this regard, it seems necessary to make changes and/or additions to the individual work plan based on the results of semi-annual monitoring.

At the same time, the current Standard Methodology provides for the approval of 5 key target indicators in the individual work plans of all civil servants and is focused on the implementation of the strategic goals of the state body. Thus, it is necessary to divide the assessment system into three parts, the assessment of the top management, middle managers and the assessment of non-management civil servants.

In addition to indicators of the performance of middle managers, it makes sense to assess the level of development of managerial (first of all, leadership) qualities of a manager, which largely determine the efficiency of organizing the work of the corresponding structural unit. An indicator of the performance of non-executive civil servants should be provided for the quality of performance of official duties.

At the same time, the limited normative consolidation of KPI in the amount of 5 can lead either to artificial assignment of non-key indicators to key indicators, or to the enlargement of important KPI in order to reduce it to five. As already noted, the analysis of individual work plans showed that often civil servants in the KPI indicate their functional responsibilities.

The active participation of the civil servants themselves in the determination of key indicators and competencies in need of development increases the level of employee involvement in the process of developing himself and increasing the performance of the state body as a whole.

Monetary support is the main means of material support and stimulation of professional performance. Because of this, ensuring a competitive level of remuneration and changing the structure of salaries plays a key role in ensuring an effective system of motivation and incentives in the civil service. In the context of the

development of the system of motivation and incentives, special attention is paid to the formation of flexible models of remuneration based on results.

It is the pay based on results that is considered in international practice as an opportunity for the civil service to effectively compete as an employer with the private sector, which opens up additional opportunities for ensuring a high level of efficiency and professionalism, increasing interest in achieving a socially significant result <sup>117</sup>.

It should be noted that the factor-point scale (FPS) of remuneration in the civil service, introduced by the pilot format, has certain advantages and has the potential in terms of using this tool in the system to improve the efficiency of employees. The lack of clear criteria for assessing activities and prospects for job growth today can serve as a demotivating factor, and in this context, the results of the assessment should become the basis of the Methodology for calculating the number of bonuses for the FPS.

The new remuneration system is based on the so-called factor-point scale, according to which all positions are assessed taking into account three factors: what level of knowledge, competencies and work experience is necessary for the effective implementation of job duties; the degree of complexity of the tasks assigned to the position, as well as the degree of responsibility for failure to achieve the result.

For each of the factors, a score is displayed, and their combination determines the place of the position in the new pay grid.

In this regard, in order to improve the effectiveness of the assessment of the performance of civil servants, it is necessary to develop a competency profile for each position in a public authority.

For a more objective and qualitative assessment the methods should differ depending on the level of activity of the civil servant, in this regard a graded methodology for assessing the effectiveness of civil servants is proposed.

Table 4.3 - Ranked methodology

Senior management	Middle management	Executive branch
<b>Indicators and criteria for assessing the KPI</b> ( <i>Example</i> )		
<ul style="list-style-type: none"> <li>- achieving the strategic goals of the state body;</li> <li>- meeting the requirements for intradepartmental management and human resource management;</li> <li>- timeliness and efficiency of decision making;</li> <li>- introduction of modern innovative practices;</li> </ul>	<ul style="list-style-type: none"> <li>- fulfilment of the tasks of the structural unit;</li> <li>- creating a favorable working environment;</li> <li>- development of management skills</li> <li>- encouragement of modern innovative initiatives</li> </ul>	<ul style="list-style-type: none"> <li>- fulfilment of requirements for performance;</li> <li>- performance of tasks of the structural unit</li> </ul>

<sup>117</sup> Performance management. A system for evaluating results in action / M. Armstrong - "Alpina Digita 1", 2011.

- fulfilment of professional development tasks		
<b>Criteria</b> ( <i>a point is assigned to each value</i> )		
<p><b>Completeness:</b>  <i>full implementation of the plan (100%) - 2;</i>  <i>average deviation from the plan (deviation no more than 25% of the plan) - 1;</i>  <i>maximum deviation from the plan (deviation more than 25% of the plan) - 0.</i></p> <p><b>Quality level:</b>  <i>complies with the normative legal acts and alternative options have been implemented, the use of which led to an effective result - 3;</i>  <i>complies with regulations and proposed alternative solutions - 2;</i>  <i>complies with normative legal acts - 1.</i>  <i>does not match - 0.</i></p> <p><b>Timeliness of fulfillment</b>  <i>the work was done on time - 1;</i>  <i>work not completed on time - 0.</i></p> <p><b>Difficulty level:</b>  <i>analytical work, urgent mode - 6;</i>  <i>analytical work, normal mode - 5;</i>  <i>organizational work, urgent mode - 4;</i>  <i>organizational work, normal mode - 3;</i>  <i>technical work, urgent mode - 2;</i>  <i>technical work, normal mode - 1.</i></p>		
<b>Competency assessment criteria</b> ( <i>a point is assigned to each value</i> )		
meets expectations - 1;		
does not meet expectations - 0		
<b>Assessment method</b>		
method "360 degrees"		
<b>Performance Assessment</b>		
<p>The first step in assessing the effectiveness of activities is to evaluate the employee's individual plan in terms of quantitative indicators: determining the percentage of completion, i.e. the ratio of the completed volume of tasks to the total volume (including both planned activities and unplanned ones) in percentage terms.</p> <p style="padding-left: 40px;">The minimum admissible value of the plan execution is 75% of the plan execution, the maximum is 100%.</p> <p style="padding-left: 40px;">If the plan is fulfilled by less than 75%, further efficiency assessment is impractical, the efficiency ratio is zero (administrative decisions are applied in relation to the employee).</p> <p style="padding-left: 40px;">When the plan is fulfilled within 75-99%, the final result of the performance assessment (efficiency ratio) will be halved. If the plan is fulfilled by 100%, the obtained efficiency ratio will remain unchanged.</p> <p>The methodology for calculating the Performance Coefficient (PC) of an employee's activity is presented in Appendix 1</p>		
<b>Frequency of assessment</b>		
annually monitoring once every six months		

<b>Consequences of a positive assessment</b>		
- bonuses; - intangible incentives - payment of bonuses	- career advancement; - bonuses; - intangible incentives; - payment of bonuses	- career advancement; - bonuses; - intangible incentives; - payment of bonuses
<b>Consequences of a negative assessment</b>		
- demotion; - transfer to another position; - dismissal from the civil service	- search for directions professional development; - demotion; - transfer to another position	- search for areas of professional development; - transfer to another position; - dismissal from the civil service
<b>Algorithm for the implementation of the Assessment methodology</b>		
<b>Stage 1</b> - to form clear goals that will be pursued when assessing employees (among the main goals are usually the assessment of the quality of work and the degree to which a person's qualifications correspond to the position held, monitoring the social climate in the team)		
<b>Stage 2</b> - determination of the subject of assessment, that is, who to assess. Depending on the goals, the target audience is determined, the information about which the organization needs in the first place		
<b>Stage 3</b> - determination of indicators and criteria by which the assessment will be carried out		
<b>Stage 4</b> - selection of assessment methods and subjects of assessment		
<b>Stage 5</b> - preparatory. There are a number of steps to be taken to help guide the assessment itself: <ul style="list-style-type: none"> <li>• creation of an internal regulatory framework for assessment - development of provisions, regulations;</li> <li>• training of the personnel who will directly conduct the assessment;</li> <li>• informing staff about the upcoming assessment and its positives</li> </ul>		
<b>Stage 6</b> - the main one is the actual assessment itself. Analysis of all information collected as a result of the assessment for its relevance and the quality of the assessment system itself		
<b>Stage 7</b> - final - making management decisions in relation to those employees who were assessed - promotion, demotion, training		
Note: compiled by the authors		

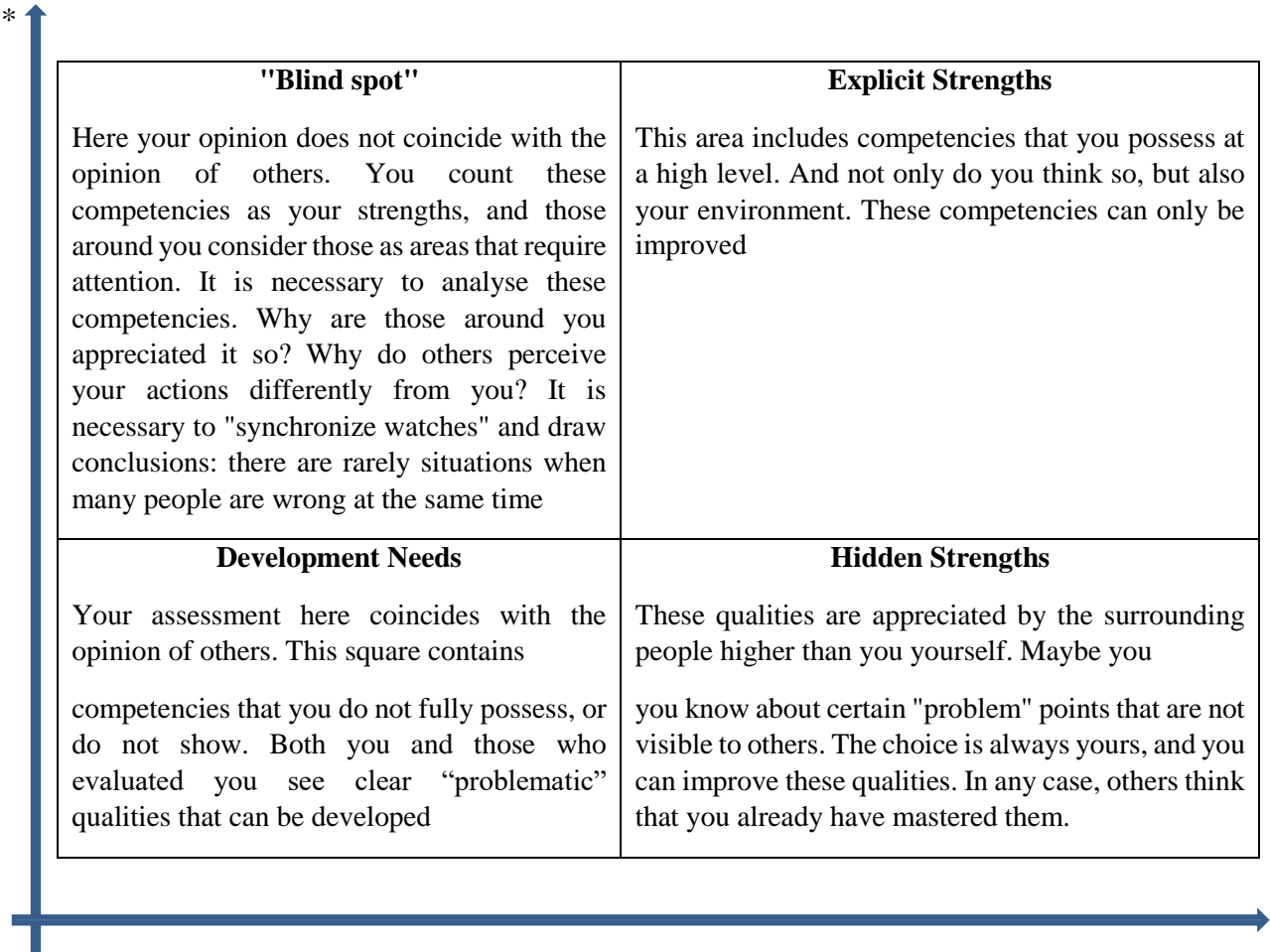
The above proposals require changes to the current legislation (Appendix 2).

Table 4.4. - Proposals for changes to the Standard Methodology

<b>Paragraph</b>	<b>Current version</b>	<b>Proposed version</b>
P.30	The level of development of an employee's competence is determined by the number of behavioural indicators that appear in the employee's activity during the assessed period in the following order: 1) when 3/4 or more of the behavioural indicators provided for	<i>State in the new edition:</i> 1) For each position, approve a competency profile; 2) For each competency, <b>identify the behavioural indicators</b> to be assessed. <i>For example, for the Strategic Thinking competency:</i>

	<p>by a certain competence are manifested in the activity of an employee, an assessment is given "meets expectations."</p> <p>2) if the employee's activity does not correspond to less than 3/4 of the behavioural indicators provided for a specific competence, the score "does not meet expectations" for this specific competence is given.</p>	<ul style="list-style-type: none"> <li>- <i>able to predict the development of events based on the analysis of current factors and prospects;</i></li> <li>- <i>formulates the strategic goals of the organization within the framework of its direction. Knows how to assess the feasibility of achieving strategic goals;</i></li> <li>- <i>sees the main trends and changes taking place in the external environment and in the organization;</i></li> <li>- <i>focused on the active development of activities, outlines long-term development goals, makes efforts today to achieve goals in the future;</i></li> <li>- <i>ensures the consistency of all decisions and plans made with each other and their compliance with the organization's strategy.</i></li> </ul> <p>3) <b><i>each competence should include a scale that will determine the range of competence manifestation:</i></b></p> <ul style="list-style-type: none"> <li>- <i>does not appear, the level of incompetence;</i></li> <li>- <i>manifests itself situationally, as individual elements in response to external requirements, norms and rules (<b>development</b>);</i></li> <li>- <i>manifests itself in all basic standard daily work situations (<b>experience</b>);</i></li> <li>- <i>manifests itself in full, even in non-standard situations or situations of increased complexity (<b>expertise</b>);</i></li> <li>- <i>always manifests itself in all situations, an example for others. Influences its development in others (<b>skill</b>).</i></li> </ul> <p><i>Thus, each competency will be assessed on a 5-level scale.</i></p> <p><b><i>The first purpose of the scale is to assess competencies, which allows, among other things, to analyse oneself from 4 sides *.</i></b></p>
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		<i>The second purpose of the scale is to establish a remuneration system for administrative civil servants.</i>
Note: compiled by the authors		



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**ROUND TABLE****(focus-group)****on the topic of:****"Improving the system for assessing the effectiveness of the activities of administrative civil servants and state bodies"****Nur-Sultan****6 november 2020 year**

**Aim:** Discussion of approaches to assessing the effectiveness of the activities of administrative civil servants and state bodies and the development of recommendations for improving the system for assessing the effectiveness of the activities of central and local executive bodies.

Link: [https://drive.google.com/file/d/1\\_f8c88yqQhG3aQ7vou5tjEu\\_cNvWG-y6/view?usp=sharing](https://drive.google.com/file/d/1_f8c88yqQhG3aQ7vou5tjEu_cNvWG-y6/view?usp=sharing)

**PROGRAMME**

**Moderator: Junusbekova Gulsara Ashirbayevna**, professor of the Institute of management

14.40 – 15.00	<b>Registration of participants of the round table</b>
15.00 – 15.05	<i>Greeting words</i> <b>ZEINOLDANOVA AIGUL SAGYNDYKOVNA</b> , Vice Rector for Academic Affairs
15.05 – 15.15	<b>ZEINELGABDIN ALTAY BOLATKHANOVICH</b> , Doctor of Economic sciences, Professor of the Institute of Management, ex-member of the Accounts Committee for Control over the Execution of the Republican Budget
15.15 – 15.20	<b>DAUESHOV MARAT ERKINOVICH</b> , Deputy Chairman of the Agency of the Republic of Kazakhstan for Civil Service Affairs
15:20 - 15:25	<b>AHMETOV ALTAIR AMANGELDIEVICH</b> , Head of the Department of Public Administration of the Administration of the President of the Republic of Kazakhstan
15.25 – 15.30	<b>EGIZBAEV SERIK RAHMETOLLAULY</b> , Deputy Akim of West Kazakhstan oblast
15.30 – 15.35	<b>ZHORAEV OLZHAS ZHUMADILLAEVICH</b> , Deputy Head of the Strategic Planning Department of the Presidential Administration of the Republic of Kazakhstan  <b>SHEKIMOVA LIYDMILA NIKOLAEVNA</b> , head of the sector of the strategic planning department of the Administration of the President of the Republic of Kazakhstan
15.35 – 15.40	<b>KALYGULOVA MAKPAL GAZIZOVNA</b> , Head of the Center for Evaluating the Performance of State Bodies
15.40 – 15.45	<b>EGEMBERDY ERALY KUANDYKOVICH</b> , state inspector of the Presidential Administration of the Republic of Kazakhstan
15.45 – 15.50	<b>BEKTUROVA ARMAN TURSUNOVA</b> , Director of the Department of Reporting and Statistics of Public Finance of the Ministry of Finance of the Republic of Kazakhstan;



15.50 – 15.55	<p><b>BAIKHANOVA AIGUL BEIBITBAEVNA,</b> Head of the Department of the Agency for Civil Service Affairs in the Karaganda oblast</p>
15.55 – 16.25	<p><b>AIYPOV RASHID ABATULLAEVICH,</b> Akim of Turkestan city;</p> <p><b>KASHIMOVA LYAYLIM BAKIEVNA,</b> Head of Department of the Accounts Committee;</p> <p><b>OSKENBAEVA ASYA RAHMENBERDIEVNA,</b> Deputy Director of Research, Analysis and Evaluation LLP of the Accounts Committee;</p> <p><b>KAYNARBЕКOV TALGAT KANATOVICH,</b> Akim of Sarkan region of Almaty oblast;</p> <p><b>URAZGULOV AKYLBЕК SARBAYEVICH,</b> Director of the Department for Work with Human Resources of the Ministry of National Economy of the Republic of Kazakhstan;</p> <p><b>NAUSHABAI ZHANIBEK NAUSHABAEBICH,</b> Head of the Akim's Office of the city of Turkestan;</p> <p><b>MEIRAMOV DARKHAN AHMEDIEVICH,</b> Director of the IT Industry Development Department of the Ministry of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan;</p> <p><b>IZBASKANOV UALIKHAN BATYROVICH,</b> Director of the Department for Strategic and Information Development of the Ministry of Energy of the Republic of Kazakhstan;</p> <p><b>AKHMETOVA GULNAZ BEKTASOVNA,</b> Head of the Sector of the Department of Socio-Economic Monitoring of the Administration of the President of the Republic of Kazakhstan, Master's student at the APA under the President of the Republic of Kazakhstan</p> <p><b>BAIZHOMARTOVA ZHULDYZ EGINBAEVNA,</b> Head of the Department of the Agency of the Republic of Kazakhstan for Civil Service Affairs.</p> <p><b>SHOMANIEV ZHAMBUL ASYLKHANOVICH,</b> Deputy Director of the Department of Strategic and Information Development of the Ministry of Energy of the Republic of Kazakhstan</p> <p><b>TLEUBAEV ARMANBEK KENESOVICH,</b> Deputy Director of the Department for Development of the IT Industry of the Ministry of Digital Development, Innovation and Aerospace Industry of the Republic of Kazakhstan</p>

	<b>Employees of central state and local executive bodies, employees of the Academy, undergraduates and doctoral students</b>
16.25 – 16.30	Discussion, acceptance of recommendations. CLOSING ROUND TABLE

**Organizers:** the project team of the APA under the President of the Republic of Kazakhstan.

**An indicative list of issues to be discussed for a focus group:**

*Assessment block: "Achievement of goals":*

1. In your opinion, it will be expedient if in the methodology for assessing the effectiveness of the activities of central state bodies we add a separate section "assessing the effectiveness of the activities of central state bodies directly subordinate and accountable to the President of the Republic of Kazakhstan"?

2. What, in your opinion, is the main reason for the low degree of efficiency in achieving the goals (the share of not achieved goals varies within 33% -41%, 33 target indicators do not reach the planned values for the last 3 years in a row)?

3. Why, in your opinion, at the regional level, some of the indicators of territorial development programs are poorly focused on the specifics of the development of the region and there is no connection between the development of budget funds and the level of achievement of target indicators?

*Assessment block "Interaction of state bodies with individuals and legal entities":*

1. Do you think that according to the criterion "Automation of public services" the incentive indicator "Automation of public services in the reporting period" should be applied not only for CSOs, but also for LEB?

2. How accurately does the indicator "Monitoring and consideration of proposals and user comments to draft regulatory legal acts and the results of regulatory impact analysis" assess the factors: analytics, recommendations on proposals received and submission of proposals to the draft regulatory legal acts?

3. How correct are the formulas for calculating the criteria: "Compliance with the terms of consideration of complaints and applications"; "The share of complaints and applications recognized as justified by a court decision (satisfied by the court)"; "Consideration of repeated substantiated complaints and applications"?

For the negative dynamics of the growth of complaints and statements leads to a positive result of the constituent criteria, while the positive dynamics of the decrease in complaints and statements leads to a negative result.

*Assessment unit: "Organizational development":*

1. Define the criteria in which, in your opinion, the calculation indicators do not reveal the effectiveness of the Assessment in the "Organizational Development" block, such as - human resources of the state body, labor organization, meritocracy and organizational culture? Why?

2. In your opinion, does the indicator "Management practices in a state body" according to the criterion "Organization of labor" reveal the effectiveness of organizational and managerial activities in a state body?

3. In your opinion, does the modern assessment methodology in the field of "Application of information technologies" in any way affect the increase in the efficiency of public administration in the country?

4. Does the assessment methodology in the "Application of Information Technology" stimulate information integration between state bodies, as well as the very use of information technology in the public service?

*"Analysis of the methodology for assessing the effectiveness of administrative civil servants":*

1. What measures, in your opinion, should be taken if the activity of a civil servant does not correspond to the behavioral indicators provided for a specific competence?

2. Do you consider it necessary to make changes to the standard methodology for assessing the performance of civil servants? If so, what criteria and indicators would you suggest?

3. How do you think the level of compliance of a particular civil servant with behavioral indicators of specific competencies should be determined?

**LIST**  
**experts to conduct interviews in the study**  
**"Improving the system for assessing the effectiveness of the activities of**  
**administrative civil servants and state bodies"**

Full name	Occupation, place of work	Telephone	Email
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	Turenova Kalia Battalovna	Head of KSU "Akim's Office of the city of Petropavlovsk"	+7(701)8885496	tmukanov199 8@mail.ru
<b>CENTRAL STATE BODIES</b>				
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**Research methodology and tools (interview questionnaire, interview report, guide interview)**

Link: Expert Interview Report -

[https://drive.google.com/drive/folders/1E\\_NUsmTgrGhJtW1PPdw5Gcjk7CIwIjGk](https://drive.google.com/drive/folders/1E_NUsmTgrGhJtW1PPdw5Gcjk7CIwIjGk)

Link to expert interview transcripts:

[https://drive.google.com/drive/folders/1MeajPEsamhd\\_HwqU6rwHBTgVdnZl5f\\_i?usp=sharing](https://drive.google.com/drive/folders/1MeajPEsamhd_HwqU6rwHBTgVdnZl5f_i?usp=sharing)

**RESEARCH**

**"Improving the system for assessing the effectiveness of the activities of administrative civil servants and state bodies"**

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**Dear expert!**

The Academy of Public Administration under the President of the Republic of Kazakhstan is conducting a study aimed at finding new approaches and solutions in the field of assessing the effective performance of state bodies, including defining objective, measurable and effective criteria and indicators.

Your feedback is very important to us. Your professional answer will help to identify areas of new opportunities for improvement, both the process itself and the methodology for operational assessment of the performance of state bodies.

Thank you for your understanding and sincerity in your responses. The information received will be used in a generalized manner and in complete confidentiality.

**Section I**

**General information**

**Occupation** \_\_\_\_\_

**Structural subdivision** \_\_\_\_\_

**CSB** \_\_\_\_\_

**LEB** \_\_\_\_\_

**Section II**

**Expert interview on the block "Achieving goals"**

1) In your opinion, how effective is the current system of annual performance assessment of central state and local executive bodies?

*(Please provide short comments on the response)*

- not effective at all \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- effective, except for some evaluation indicators \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- partially effective \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- quite effective \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- find it difficult to answer \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

1) What are the most frequent violations of budgetary and other legislation detected in your state body?

*(Please provide short comments on the response)*

- Financial violations \_\_\_\_\_  
 \_\_\_\_\_
- procedural violations \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- violation of accounting legislation \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- violation of financial reporting legislation \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
- violations of public procurement legislation \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



2) What difficulties do you face when preparing information for authorized bodies assessing the effectiveness of your state body?

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3) What is the main reason for the low degree of effectiveness in achieving the goals of the strategic plans?\_\_

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4) What would you like to change in the methodology of the Assessment for the block "Achieving the Goals"?

*(Please provide short comments on the response)*

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### Section III

#### Block "Interaction of a state body with individuals and legal entities"

5) Assess the importance of the criteria in assessing the effectiveness of state bodies in the direction of "Quality of public services" within the framework of the Concept "Listening State".

*Read and mark the answer on each line*

Criterion / Answer	Very important	Pretty important	Not very important	It doesn't matter at all
○ Satisfaction of service recipients with the quality of the provision of public services	4	3	2	1
○ Ensuring the quality of the provision of public services	4	3	2	1
○ Automation of public services	4	3	2	1

*Please comment on your answer*\_\_\_\_\_

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6) Below are several statements on the criteria for the direction "Quality of the provision of public services". Please mark the most appropriate assessment of these statements in your opinion.

	complete ly agree	agree more	Partly agree, partly disagree	Disag ree
○ According to the criterion "Satisfaction of service recipients with the quality of the provision of public services": It is important to additionally include an indicator for a personalized assessment of the quality of the provision of public services in electronic format, in addition to public monitoring	4	3	2	1
○ According to the criterion "Quality assurance of the provision of public services" indicators: T2 – "Unreasonable refusals to provide state services"; T3 – "Provision of public services with an incomplete package of documents"; T4 – "Request for documents not provided for by the standard of public services" inherently reduce the quality of public service delivery and should be related to indicators for penalty points	4	3	2	1
○ According to the criterion "Automation of public services": It is necessary to include indicators assessing the level of implementation of integrated public services and proactive public services	4	3	2	1

*Please comment on your answer*

8) In your opinion, how much does each criterion in the direction of "Openness of a state body" affect the level of citizens' trust in state bodies?

Criterion / Answer	Strongly affects	Affects more	Weakly affected	Does not affect
<input type="radio"/> Open data	4	3	2	1
<input type="radio"/> Open budget	4	3	2	1
<input type="radio"/> Open legal sources	4	3	2	1
<input type="radio"/> Open dialog	4	3	2	1
<input type="radio"/> Openness of subordinate organizations	4	3	2	1

To what extent do the above criteria reflect the level of interaction of a state body with individuals and legal entities?

*Please comment on your answer* \_\_\_\_\_

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9) In your opinion, how will the inclusion of an additional indicator “citizens' satisfaction with the quality of responses to complaints and statements on the official blog platform of heads of state bodies and organizations of the quasi-public sector” affect the decrease in the number of complaints and applications?

- I believe that it will have a positive effect
- I don't think it will
- I think it will negatively affect
- Difficult to answer

10) What would you like to change in the assessment methodology for the block “Interaction of state bodies with individuals and legal entities”, taking into account modern realities and trends in promoting the Concepts “Listening State”, “Proactive Government”, “Government for Citizens”?

*Please comment on your answer* \_\_\_\_\_

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11) What, in your opinion, needs to be done to improve the preparation of information for assessing the effectiveness of the activities of your state body in the block "Interaction of state bodies with individuals and legal entities"?

*Please comment on your answer* \_\_\_\_\_

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## Section IV

### Expert interview on the block "Organizational development"

12) Define the criteria in which, in your opinion, the calculation indices do not reveal the effectiveness of the Assessment in the "Organizational Development" block? Why?

*(Please provide short comments on the response)*

- Human resources of the state body \_\_\_\_\_
- 
- 

- Labor organization \_\_\_\_\_
- 
- 

- Meritocracy and organizational culture \_\_\_\_\_
- 
- 

13) In your opinion, does the indicator "Management practices in a state body" according to the criterion "Organization of labor" reveal the effectiveness of organizational and managerial activities in a state body?

- I think it reveals;
- I do not think that it discloses;
- I believe that the indicator is not correctly formulated;
- Difficult to answer

Please comment on your answer as detailed as possible

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14) Evaluate the importance of indicators in assessing the effectiveness of state bodies by the criterion "Meritocracy and organizational culture".

*Read and mark the answer on each line*

Criterion / Answer	Very important	Pretty important	Not very important	doesn't matter at all
○ Transparency of tender procedures	4	3	2	1
○ Compliance with the principles of meritocracy	4	3	2	1
○ Career growth	4	3	2	1
○ Transparency of promotion in a state body	4	3	2	1
○ Ethics and team relationships	4	3	2	1

*Please comment on your answer* \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

15) What is your opinion on the derivation of the indicator "Strategic workforce planning" according to the criterion "Labor organization" from the bonus indicator to the main indicator? Will this indicator affect the government gaps associated with the lack of a human resource management strategy?

\_\_\_\_\_

16) Do you think that the modern assessment methodology in the direction of "Application of Information Technologies" in any way affects the increase in the efficiency of public administration in the Republic of Kazakhstan?

*(Please provide short comments on the response)*

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

17) In your opinion, does the assessment methodology in the direction of "Application of Information Technology" stimulate information integration between state bodies, as well as the very use of information technology in public service?

- Yes, it stimulates to the full;
- Yes, stimulating in some cases;
- Does not stimulate;
- These processes are independent of the assessment being undertaken.

Please comment on your answer as detailed as possible

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18) Do you think that the assessment methodology in the direction of "Application of Information Technology" stimulates the process of constant replenishment and updating of data on the architectural portal and other publicly available sources?

- Yes, it stimulates to the full;
- Yes, stimulating in some cases;
- Does not stimulate;
- These processes are independent of the assessment being undertaken.

19) What would you like to change in the methodology of the Assessment for the "Organizational Development" block?

*(Please provide short comments on the response)*

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## Section V

### **expert interview on the implementation of the Standard Methodology for Assessing the Activities of Administrative Civil Servants block "B"**

20) Please describe how you are involved in defining your key target indicators when drawing up your individual work plan?

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21) How does your state body determine the conformity of behavioral indicators when assessing the competencies of a particular civil servant? (name methods, tools, mechanisms, etc.)\_\_\_\_

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22) Should the methodology for assessing competencies differ depending on the level of activity of a civil servant? If yes, what competencies would you suggest to include

- for top managers
- for middle managers

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○ for experts \_\_\_\_\_

23) What conceptual changes does the assessment methodology itself need (in the procedure, criteria, indicators, etc.)?

24) Who do you think can most accurately assess the current results and the quality of your work? (no more than 4 answer options)

- Head of state body
- Subordinate
- myself
- Colleagues from other state bodies
- Work colleagues
- Citizens (organizations) - consumers of services
- Non-profit organizations
- Independent experts
- Direct manager
- Others \_\_\_\_\_
- Difficult to answer

27) What recommendations do you receive based on the results of the quarterly monitoring conducted by your line manager on the achievement of key target indicators?

- do not receive
- got the following (write your own version):

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28) What measures are being taken in your state body if the activities of a civil servant do not correspond to the behavioral indicators provided for a specific competence?

- \_\_\_\_\_
- \_\_\_\_\_

Dear expert!

Thank you for the answers provided.

### Methodology for calculating the Performance Coefficient (PC) of the activities of an administrative civil servant of Block "B"

The coefficient of efficiency (PC) of the employee's activity is the arithmetic average of the entire population PC for the estimated period.<sup>118</sup>

PC is calculated for each indicator and percentage of the fulfilment of the individual plan.

Example:

1. Calculation of PC by indicators of KPI:

- the arithmetic mean value is calculated, based on the assessment of all indicators:

Index "Achieving the strategic goals of the state body "	Assessment	Result
completeness, max = 2	1	50.00%
quality level, max = 3	1	33.33%
timeliness of execution, max = 1	1	100.00%
Result: arithmetic mean		61.11%

- adjustment for difficulty level: The complexity of the order directly affects the quality of its execution. In this regard, it is recommended to correct the result obtained by the level of complexity by multiplying the obtained arithmetic mean by the complexity factor.

Index Achieving the strategic goals of the state body	Assessment	Outcome	Coefficient of difficulty	Result adjusted for difficulty level
Difficulty level, max = 6	2	33.34%	1.3334%	81.48

- the total PC of all indicators of the KPI for the estimated period is calculated. The obtained PC for individual indicators of the KPI are also reduced to the arithmetic mean

Index	Efficiency ratio
indicator 1	81.48%

<sup>118</sup> Methodological recommendations for assessing the effectiveness of the activities of state civil and municipal employees of the Khanty-Mantisky Autonomous Okrug - Yugra. - Khanty-Mantiysk, 2013.



indicator 2	64.00%
indicator 3	30.08%
<i>Overall efficiency ratio</i>	85.68%

2. The calculation of PC for competencies is carried out in a similar way, without the use of a correction coefficient of complexity.

<b>Competence</b>		<b>Assessment</b>	<b>Result</b>
Competence 1	meets expectations - 1 does not meet expectations - 0	1	100.00%
Competence 2		0	50.00%
Competence 3		1	100.00%
Competence 4		1	100.00%
Competence 5		1	100.00%
Competence 6		0	50.00%
Result: arithmetic mean			83.33%

3. Next, the arithmetic mean is calculated based on the results of the calculation of PC KPI and competencies:

$$PC = 85.68\% + 83.33\% = 84.51\%$$

4. Next, PC is calculated, taking into account the percentage of execution of the individual plan

When the plan is executed within 75 - 99%, the final result of the calculations is halved, i.e.

$$PC = 83.33\% / 2 = 41.67\%$$

When the plan is 100% fulfilled, the resulting PC remains unchanged, i.e.

$$PC = 83.33\%$$

## **Standard Methodology for assessing the performance of administrative civil servants of corps "B"**

### **Chapter 1. General Provisions**

1. This Standard Methodology for Assessing the performance of administrative civil servants of corps "B" (hereinafter - the Methodology) has been developed in accordance with paragraph 5 of Article 33 of the Law of the Republic of Kazakhstan dated November 23, 2015 "On the Civil Service of the Republic of Kazakhstan" and determines the procedure for assessing the performance of administrative civil servants of corps "B".

2. Basic concepts used in this Methodology:

1) direct manager is a person in relation to whom the assessed employee is directly subordinate;

2) superior manager is a person in relation to whom the immediate manager of the assessed employee is directly subordinate;

3) key target indicators (hereinafter - KPI) are indicators (with the exception of process work) established in accordance with the strategic plan of the state body, the memorandum of the political employee / agreement of the employee of the "A" corps, or based on the specifics of the performance of the employee of the "B" corps, the achievement of which testifies to the effectiveness of their activities;

4) an individual work plan is a document providing for the KPI of an employee of corps "B" for the assessed period, and drawn up together with the immediate supervisor and approved by the higher supervisor;

5) competence is a set of knowledge, abilities and skills necessary for the effective performance of professional activities in a specific public position;

6) behavioral indicators are behavioral characteristics and the level of manifestation of competence in an employee of Corps B;

7) ranking is an assessment method in which the organizational and managerial level of the assessed civil servants of corps "B" is determined;

8) method "360 degrees" is a method of assessment which is conducted through a survey of the employee's service environment.

3. Assessment of the performance of employees of Corps "B" (hereinafter - the assessment) is carried out to determine the level of compliance of activities with the requirements and the level of efficiency, the quality of their work and increasing potential.

4. The assessment is not carried out in cases where the period of assessed employee tenure in a specific position, including after leaving social leave or after completing training, is less than three months, as well as during the probationary period.

Employees of Corps "B" who are on labor leave, unpaid leave, period of temporary disability, business trip or internship during the assessment period, or who are sent for retraining, advanced training, are assessed within 5 working days after starting work.

5. To conduct the assessment by an official who has the right to appoint and dismiss an employee of Corps B (hereinafter - the authorized person) from public office, the Assessment Commission (hereinafter - the Commission) is created, the working body of which is the HR department.

The composition of the Commission is determined by an authorized person. The number of members of the Commission is at least 5 people.

6. The assessment of the chairmen of the audit commissions of regions, cities of republican significance and the capital is carried out by the Commission, created by the corresponding maslikhat from among the deputies.

7. Performance assessment of the employees of Corps "B" is carried out in accordance with the automated assessment system.

8. The assessment is carried out in two separate areas:

1) assessing the achievement of the KPI;

2) assessment of the competencies of the employees of Corps "B".

9. The results of the assessment of the implementation of the KPI are the basis for making decisions on the payment of bonuses, incentives, rotation, demotion or dismissal.

The results of the competence assessment are the basis for making decisions on the development of the necessary competencies for the employee of Corps B. At the same time, the results of competency assessment do not affect the payment of bonuses, incentives, rotation, demotion or dismissal.

10. Documents related to the assessment are retained by the HR department for three years from the date of completion of the assessment.

## **Chapter 2. The procedure for determining the KPI**

11. KPI are determined by the immediate supervisor in the individual work plan of the administrative civil servant of corps "B", drawn up within 10 working days after the beginning of the assessed period in the form, in accordance with Appendix 1 to this Methodology.

The KPI of the chairmen of the audit commissions of regions, cities of republican significance and the capital are determined by the secretary of the relevant maslikhat in the individual work plan of an employee of corps "B", drawn up within 10 working days after the beginning of the assessed period in the form, in accordance with Appendix 1 to this Methodology.

12. After the formation of an individual work plan, with the corresponding KPI, it is submitted for consideration to a higher head for approval.

13. If a direct supervisor of an employee of corps "B" is the first head of a state body (local executive body), the individual work plan is approved by this official.

14. The superior manager returns the individual work plan for revision in case of non-compliance of the KPI with the requirements specified in paragraph 16 of this Methodology.

Re-introduction of an individual plan for consideration by a higher-level manager is carried out no later than 2 working days after being sent for revision.

15. KPI are:

1) specific (the result is precisely defined, indicating the expected positive change that needs to be achieved);

2) measurable (specific criteria are defined to measure the achievement of KPI);

3) achievable (KPI are determined taking into account available resources, powers and restrictions);

4) limited in time (the deadline for reaching the KPI during the estimated period is determined);

5) focused on the implementation of the strategic goals of a state body, a memorandum of a political employee or an agreement of an employee of the "A" corps.

16. Indicators, the number and criteria for assessing the KPI are determined depending on the specifics of the civil servant's activities and on the organizational and managerial level of the civil servant.

17. The individual plan is kept in the HR department.

18. In order to monitor the achievement of the KPI, provided for by the individual work plan, the direct supervisor carries out a six-month monitoring of the achievement of the established KPI.

Based on the results of the six-month monitoring, the direct supervisor submits written recommendations to the assessed employee of Corps "B" on the achievement of the KPI and the further measures necessary for this. The HR department acquaints the employee of the "B" building with the results of the six-month monitoring and written recommendations of the immediate supervisor.

Based on the results of six-month monitoring, if necessary, once during the reporting period, changes and / or additions are made to the individual work plan at the initiative of the employee.

The procedure for making changes and / or additions to the individual work plan is the same as when this plan was approved.

19. To carry out the assessment, the immediate supervisor of the employee of the "B" corps fills in the assessment sheet according to the KPI in the form, in accordance with Appendix 2 to this Methodology, and signs it.

### **Chapter 3. Methodology for calculating the efficiency factor**

20. Coefficient of efficiency (CE) of the employee's performance is the arithmetic average of the entire set CE (KPI, competencies) for the estimated period.

The assessment of the implementation of the individual work plan is carried out based on the results of the year for which the individual work plan was drawn up.

21. After filling out the assessment sheet by the direct supervisor, it is submitted for consideration to the higher supervisor.

22. If the direct supervisor of an employee of Corps "B" is the first head of a state body, the assessment sheet is submitted for his/ her consideration.

23. Based on the results of consideration of the assessment sheet of an employee of Corps "B", one of the following decisions is made by the superior manager:

- 1) agree with the assessment;
- 2) send for revision.

24. The assessment sheet is sent for revision in case of insufficiency or inaccuracy of the facts confirming the achievements of the KPI.

25. The re-introduction of the assessment sheet for consideration by a higher manager is carried out no later than 2 working days from the date of sending it for revision.

26. After the signing the assessment sheet by the superior head, the HR department submits it for consideration by the Commission no later than 2 working days.

27. Assessment of competencies is carried out by the "360 degrees" method. Appraisers are determined by the head of the state body depending on the specifics of the civil servant's performance.

28. The first step in assessing the effectiveness of activities is to assess the individual work plan in terms of quantitative indicators: determining the percentage of implementation, i.e. the ratio of the completed volume of tasks to the total volume (including both planned activities and unplanned ones) in percentage terms.

The minimum admissible value of the plan execution is 75% of the plan execution, the maximum is 100%.

If the plan is fulfilled by less than 75%, further efficiency assessment is impractical, the efficiency ratio is zero.

When the plan is fulfilled within 75-99%, the final result of the performance assessment (efficiency ratio) will be halved. If the plan is fulfilled by 100%, the obtained efficiency ratio will remain unchanged.

29. CE is calculated for each indicator and percentage of the fulfillment of the individual plan.

Calculation of CE according to the KPI indicators:

- the arithmetic mean value is calculated, based on the assessment of all indicators:

- adjustment for the difficulty level: the complexity of the order directly affects the quality of its execution. The result obtained is corrected for the difficulty level by multiplying the obtained arithmetic mean by the difficulty factor.

- the total CE of all indicators of the KPI for the estimated period is calculated. The obtained CE for individual indicators of KPI are reduced to the arithmetic mean.

The calculation of CE for competencies is carried out in a similar way without applying the correction coefficient of complexity.

Next, the arithmetic mean value is calculated based on the results of calculating CE KPI and competencies.

Next, CE is calculated taking into account the percentage of execution of the individual plan.

When the plan is executed within 75 - 99%, the final result of the calculations is halved.

When the plan is 100% fulfilled, the resulting CE remains unchanged.

30. After signing the assessment sheet by the direct supervisor, the HR department submits it for consideration by the Commission no later than 2 working days. The HR department and the immediate supervisor are responsible for the quality implementation of all stages of the assessment.

#### **Chapter 4. Consideration of assessment results by the Commission and appeal of assessment results**

31. The HR department forms the schedule for the assessment in agreement with the chairman of the Commission and provides notification of the persons carrying out the assessment about its carrying out seven working days.

32. A meeting of the Commission shall be deemed competent if attended by at least two thirds of its composition.

33. Replacement of an absent member or chairman of the Commission is carried out by decision of an authorized person by amending the order on the establishment of the Commission.

34. The decision of the Commission is adopted by an open vote.

35. The results of voting are determined by the majority of votes of the members of the Commission. In case of equality of votes, the vote of the Chairman of the Commission is decisive.

36. The Secretary of the Commission is a staff member. The Secretary of the Commission does not take part in voting.

37. The HR department ensures the holding of the meeting of the Commission in accordance with the terms agreed with the chairman of the Commission.

38. The HR department provides the following documents for the Commission meeting:

1) completed assessment sheets;

2) draft minutes of the meeting of the Commission in the form, in accordance with Appendix 5 to this Methodology.

39. The Commission considers the results of the assessment and makes one of the following decisions:

1) approve the results of the assessment;

2) revise the results of the assessment

40. If a decision is made to revise the assessment results, the Commission shall correct the assessment and indicate it in the column "Adjustment of the assessment results (if any) by the Commission " of the protocol.

41. The results of the assessment are approved by an authorized person and recorded in the appropriate protocol in the form, in accordance with Appendix 5 to this Methodology.

42. The HR department informs the employee of corps "B" with the results of the assessment within two working days from the date of its completion.

43. An employee of Corps B is familiarized with the assessment results in the written form. If the employee refuses to be introduced with it, an act is drawn up in any form, which is signed by the HR department and two other employees of the state body.

44. Refusal of an employee of Corps "B" to be introduced with it is not an obstacle to entering the results of the assessment into his/ her professional record. In this case, the HR department sends the results of the assessment to the employee of corps "B" through the intranet portal of state bodies.

45. An appeal against the decision of the Commission by employees of corps "B" in the authorized body for civil service affairs or its territorial department is carried out within ten working days from the date of the decision. Based on the results of consideration of the complaint, the authorized body for civil service affairs takes one of the following decisions:

1) recommends the state body to cancel the decision of the Commission and revise the results of the assessment of the employee of Corps "B";

2) to leave without revision the results of the assessment of the employee of the "B" corps.

46. An employee of Corps "B" has the right to appeal against the results of the assessment in court.