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Technical Assistance to MEST (ESPF) Kosovo Project

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# Gaps report

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## Organizational structure, HR System and Training Needs in MEST

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Implementuar nga:  
Implemented by:



Adresa: Rr. Agim Ramadani, Ndertesa MASHT, Zyra 202 A, Tel: 038 200 20123

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## List of abbreviations

AKM	Association of Kosovo Municipalities
AnPro	ANalysis and PROjection Model
Capnam Framework	Capacity Needs Assessment Methodology for Planning and Managing Education
DEUIPC	Department of EU Integration and Policy Coordination
DQAF	Data Quality Assessment Framework
EC	European Commission
EMIS	Education Management Information System
EPSSim	Education Policy and Strategy Simulation model
ESPF	Education Sector Pooled Fund
EU	European Union
FRIDOM	Functional Review and Institutional Design of Ministries
HRD	Human Resources Development
HRM	Human Resources Management
HRMIS	Human Resources Management Information System
ICT	Information and Communication Technology
IT	Information Technology
JAR	Joint Annual Review
KESP	Kosovo Education Strategy Paper
KIPA	Kosovo Institute of Public Administration
M&E	Monitoring and Evaluation
MED	Municipality Education Department
MEST	Ministry of Education, Science and Technology
MF	Ministry of Finance
MLGA	Ministry of Local Government Administration
MPA	Ministry of Public Administration
MTEF	Mid Term Expenditures Framework
NARMED	Needs Assessment Report on Municipal Education Departments
PM	Project Management
SOP	Standard Operation Procedures
SWP	Sector Wide Approach
TA	Technical Assistance
TNA	Training Needs Assessment
ToR	Terms of References
UNESCO	United Nation Educational, Scientific and Cultural Organization
UNMIK	United Nations Interim Administration Mission in Kosovo
VET	Vocational Education Training

## Highlights from this report

- The new legislation on civil service and organization of the state administration sets a challenging agenda for all public administration institutions in Kosovo. New rules and standards were introduced and business processes re-formatted. The implementation of the new systems was not accompanied with proper and timely guidelines and capacity building for the implementers. Thus, the procedures started to be implemented with delays, and in some cases were only compliance procedures.
- The new internal organization in MEST is mostly a transposition of the old structure based on some rules and standards. But, the entire process was not a functional review exercise as required by the legislation, and the functional descriptions are almost identical with the old ones. The job evaluation was not finalized, also due to the lack of a job catalogue. The provisional job evaluation resulted to be a simple transposition of the old coefficients into the new salary scheme. The content of job descriptions is also very similar to the old ones. Therefore, there is a need to objectively evaluate each position in MEST and award the relative importance compared to the other positions. This will confer equity in the organization and adequately motivate the staff.
- Organizational development should be seen as key process used to adjust internal business processes and improve staff relationships, thus contributing to better performance of the organization. In line with this, the analysis and cost benefit reports should be prepared before the reorganization and guide policy decisions. Moreover, quantitative and qualitative analysis of the resources (both in terms of "How many?" and "What capacities?") should accompany organizational review papers. All these essential processes were not implemented in MEST. We proposed two pilots to guide further interventions, besides preparing SOP for MEST.
- MEST is responsible not only for the MESP apparatus, but for the whole education sector. The capacities within MEST should be able to steer and manage the whole education portfolio and provide support to MEDs. HR Division should support implementation of HR procedures within MEST and guide the agencies under MEST. Specific methodological support should be provided to MEDs in terms of organizational structure, functions and capacities required. The project intervention would be to support MEST elaborate a model organizational structure for MEDs and a functional design.
- The HR management function within MEST is confined to administrative processes and is not involved in strategic development. Capacities' assessment is not integrated in the policy making cycle and strategic plans are not followed by HR development plans. The Capacities Development Plan, implemented also with the support of the ESPF is a very good example that should be systematically followed.
- HR Development plans should be elaborated based on TNA implemented according to the new performance appraisal procedure in force. The information from performance appraisal should be combined with analysis on capacities' requirements to implement strategic objectives from strategic

documents. The whole cycle of performance management should be put in practice in MEST. The project intervention would be to support MEST elaborate the first HRD plan and the first report on its implementation.

- HR practices are highly manual and lack the electronic management of the information. Consequently, HR staff spends considerable amount of time in manually processing several procedures. The implementation of the HRMIS with project's support will not only facilitate day to day operations and allow to HR staff to elaborate several reports and manage the data, but will create additional working time to be devoted to strategic activities within HR Division.
- The capacities assessment shows several areas that require improvements among the staff, especially in integrated strategic planning, monitoring and evaluation, process management, planning and managing human resources, planning and managing financial resources and evidence-based planning and reporting. While formal training will target general groups within MEST, the project proposed coaching and peer learning as an effective tool to improve knowledge and practical skills within the organization. The Capacity building activities will be organized in a way to match the normal cycle of business processes within MEST to maximize the impact of the training. The TalkOn training module will be implemented in two groups, while specific trainings will be delivered to narrower target groups.
- With regard to capacity gaps and interventions, MEST would need to enhance skills and work processes respectively to ensure that the strategic planning cycle enshrines national priorities, European integration priorities and sector-wide priorities. Furthermore, relevant stakeholders within MEST would also need enhanced skills in the entire policy and planning cycle including on engaging stakeholders, scenario planning, linking strategic priorities with MTEF and sector-wide approaches in human resource development. Capacity interventions should also attempt to enhance skills in monitoring and evaluation which goes from the existing input-oriented to a future output-oriented reporting.
- Implementation of strategies in the MEST context happens in a relatively decentralized sector and it's important that relevant stakeholders within MEST have enhanced skills in both integrating the demands of the sub-sectors and translating strategic documents at municipal level. The mandate of MEST also calls for enhanced skills in producing policies, regulations and guidelines for sub-sectors and establishing work processes and upgrading skills in monitoring the implementation in a systematic and coherent manner. Attempts to upgrade individual capacities for planning and implementation should go hand in hand with strategies to enhance financial planning and reporting skills and human resource planning and management. Least but certainly not last, MEST capacities to plan, regulate and implement would be greatly facilitated by a capable workforce to collect, analyze and communicate education evidence and statistics.

## Introduction

This report aims to assess the status of the implementation of the new organizational structure and the HR Systems/ HR current practices in MEST. Furthermore, it attempts to find the implementation gaps of HRM as per the legislation in force in on side, and identify the main barriers, in order to move the current role of HRM into a more strategic role, empowering HR to be an institutional (business) partner in implementing reforms and capacity building agenda in MEST.

The report mostly relates to part of specific objective 2 and specific objective 3, aiming to achieve the following:

- “MEST’s organizational and key management systems are fully aligned with the legislative requirements and serve efficiently and effectively towards achieving the education sector policy objectives as defined in the KESP. In particular, the MEST has put in place modern and state-of-the-art systems for the administrative organization, HRM & HRD”, and
- “MEST’s senior management has a vision of the sector development and is strongly committed to improve its performance, while the staff throughout the organization is capable to deliver this vision efficiently and effectively by implementing the respective policies, legislation, budgets with adequate activities”.

The project interventions should lead to review of the job descriptions and job evaluation in MEST, based on the methodology approved by the government, following the streamline of the functional descriptions of the departments. Moreover, the elaboration of SOPs on different HRM procedures and coaching on the processes should be achieved at the end of the project. Last but not least, staff capacities in MEST should improve and be able to effectively steer the policies in the education sector, based on a human resources development plan.

Initially, the ToR foresaw the gaps assessment of the financial management and internal control, as part of specific objective n. 2 of the project, being included in the management systems. However, during the inception phase, we saw closer ties with the planning policy, budgeting and monitoring and transferred this part of the gaps assessment under specific objective n. 1. The ToR also foresaw two stand-alone gaps reports (one on HR processes and another on training needs). While analyzing the situation in both cases, we noted the close links between the two topics, and presented the findings in one consolidated report.

The first part of the report provides the overview of the status of the implementation of the new organizational structure in MEST. The assessment has found that the new approved organogram is largely implemented, job descriptions and functional descriptions already submitted to MPA – MF Joint Commission for their review and approval.

However, the assessment indicates that the new approved organogram lacks prior job analysis and quantitative analysis relating the strategic documents with the functions implemented by each organizational unit.

The second part of the report assesses the status of the implementation of the HR Systems/ HR current practices. The assessment points out that the Division of Human Resources function is reduced into mainly administrative function, focused on personnel, recruitment and selection practices as per the provisions of the Law on Civil Servants. However, a vast untapped potential of its strategic function in developing the workforce and contributing to increase ministry's overall performance is left completely underutilized.

In order to develop the strategic capacities, MEST HR has to embark into substantial staff performance appraisal. The TNA should feed the staff training plan. MEST HR should develop a Human Development Plan which is internally driven and preceded by a gap skill analysis.

The third part of the report depicts the skills' gap of MEST senior staff, MEDs, and their subordinate staff. The identified training needs through a scientific methodology serve as basement for the training platform that TA project could organize in order to strengthen MEST management capacities.

The gaps report methodology is based on the examination of the official documents and the legal framework in force, semi-structured interviews with Directors of Departments, Heads of Divisions, HRM Division, and distribution of questionnaires to Senior MEST leadership and MEDs. Each section of the report incorporates a set of gaps and recommendations aiming to bridge the existing identified gaps in the three above-mentioned sections.

## I. Assessment of the status quo of the implementation of the new organizational structure

This section covers the analysis related to status quo on the implementation of the new organizational structure in MEST, relationships and reporting practice related to agencies under MEST as part of the larger education sector management, issues observed in MEDs regarding organization and capacities, implementation of new job descriptions and job evaluation procedures in MEST.

### 1.1. MEST FUNCTIONAL ORGANIZATION STATUS QUO

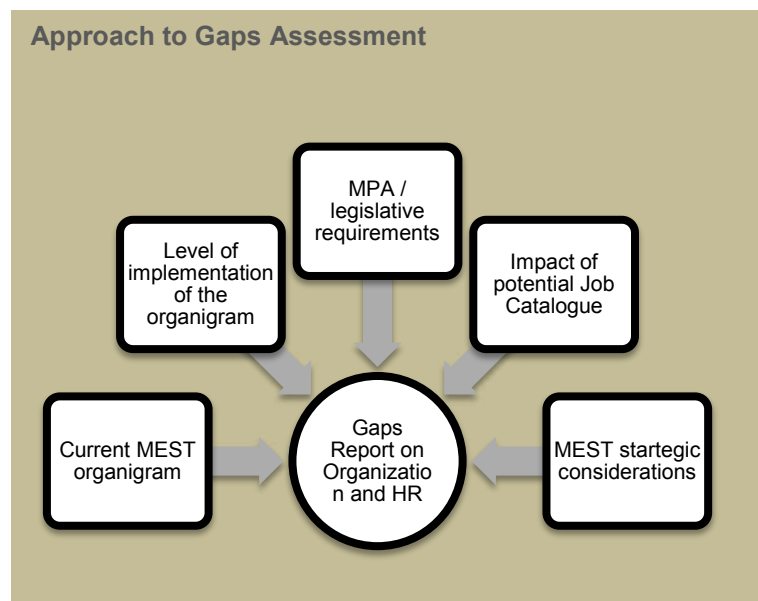
Following the requirements set in the Law “On State Administration”<sup>1</sup> and Government Regulation “On standards for internal organization and systematization of jobs in state administration”<sup>2</sup>, MEST initiated the process to review the internal organization in 2013. A working group, chaired by the Secretary General was created, involving most of the directors. The new internal regulation, covering the organogram and functional descriptions of the departments, was firstly endorsed by MPA and then approved by the Government of Kosovo in December 2013<sup>3</sup>. The new regulation organizes the ministry apparatus based on principles and standards set by the government with a total of 178 employees.

The elaboration of the new organogram and internal regulation was accompanied by new functional descriptions for all organizational units in the ministry and also drafting individual job descriptions for the civil servants. In the job descriptions, proposals for salaries’ grades were made.

After the regulation’s approval all existing civil servants were positioned in the new organizational units. The migration was not “painful” and no civil servants were registered in the redundancy list.

### 1.2. KEY ISSUES FROM THE GAPS ASSESSMENT

In this section we are listing key issues related to functional organization and grading process in MEST. Our analysis tended to capture wider education sector, including relationships between MEST and agencies and MEST with MEDs, in terms of functional organization.



<sup>1</sup> Law No.03/L –189 On State Administration of the Republic of Kosovo

<sup>2</sup> Regulation no. 09/2012

<sup>3</sup> Regulation No. 39/ 2013 On internal structure and systematization of the working places in MEST



### *1.2.1. MEST Internal organization*

Despite involving a lot of efforts and a large number of officials, the functional review of MEST, finalized with the internal regulation, was mainly a compliance process, rather than being a genuine functional review of the organization. The new organogram is a transposition of the old organogram, based on some rules and standards set by the government. New functional descriptions are similar to the old ones, although strategic priorities were considered. The Department for EU Integration and Policy Coordination is the only one that significantly changed the functions, role and composition. The same can be claimed for the Department of Finance and General Services, although this transformation was mostly lead by MPA.

In reviewing MEST structure, the working group consulted also the recommendations from the Functional Review project FRIDOM, from November 2009. Some of the recommendations were already implemented and some other is undergoing implementation (the transformation of the Education Inspectorate into a separate agency from MEST). However, from a preliminary analysis, the new MEST structure represents some issues. These issues are related with management span and distribution of the resources.

#### ***Management span:***

Current MEST structure unfolds 8 department, 3 autonomous divisions and 22 divisions within the departments. 8 department directors and 2 heads of autonomous divisions report directly to the General Secretary. He is also responsible for indirectly supervising the agencies reporting to MEST, 14 altogether. This number is too large for the General Secretary to effectively control the activity of all these units. Having in mind the centralized style of decision making in public institutions, the existing span of control would negatively impact the decision making processes, the efficiency and effectiveness of normal work processes in MEST.

The management span is a major consideration in structuring organizations as it has an impact on efficiency and effectiveness, which are at the heart of functionality. Nothing rots morale more quickly and more completely than poor communication and indecisiveness. And there is no condition, which more quickly produces a sense of indecision among subordinates, or more effectively hampers communication than being responsible to a superior who has too wide a span of control.

The reality is that broad management spans tend to be ineffective and the inherent costs significantly outweigh benefits. In short, one of the surest sources of delay and confusion is to allow any superior to be directly responsible for the control of too many subordinates. However, the prime reason for this fixation on the size of a manager's span is the time spent on managing relationships that influence the quality of, and even the timing of receipt of, information needed for decision-making.

There is no one, right size of superior – subordinate management span. Much depends on the sophistication of management, the degree of competence of the subordinates, the complexity of issues, the extent to which procedures and pre-packaged issue solutions have been developed. However, best experiences and research on large public administration units came first of all to the conclusion, that the

nearer we approach the supreme head of the whole organization, the more we ought to work towards groups of three. Secondly, the closer we get to the foot of the whole organization, the more we work towards groups of six.

The more critical the functions are for strategic planning purposes, the fewer should be the number of direct subordinates: the simpler and less complex the tasks and the narrower the range of topics or issues to be dealt with, the larger can be the number of direct subordinates. We are aware the organization of ministries is determined by the legal provisions in Kosovo calling for a three tiers organization for the civil service positions. But the MPA is working to review the law and this analysis from MEST can serve as input for the new rules in the central organizations. Management span at the higher levels in ministries should be reduced to make the management more efficient.

#### Examples countries from the region:

For the modified central Government structure in **Albania**, at the top end of a Government Ministry in which the issues arising are complex and varied, the maximum number of directly subordinated units should not exceed five. In **Slovenia** a division can be created when at least 5 civil servants are employed. A department can be created when at least 15 civil servants are employed”<sup>1</sup>.

MEST HR Division should be able to analyze the functions for each organizational unit and suggest on the management span for heads of these units, including management span at the top level. This might involve not only organizational reviews, but also business processes re-engineering. Currently, the HR Division lacks these capacities.

#### ***Distribution of resources:***

The distribution of the resources in the new structure varies significantly from one department to another and from one division to another. There are some very large departments counting from 30-62 employees and some small departments counting from 4-9 employees. The same is for the divisions varying from 2-32 employees. The tables below illustrate the situation:

Total Departments: 8	
N. Departments	N. Employees/Department
1	4
2	7
2	9
1	28
1	30
1	62

Total Divisions: 25	
N. Divisions	N. Employees/ Division
8	2
4	3
3	4
2	5
2	7
2	8
1	9
1	12
1	19
1	32

This unbalanced variance of staff allocation lacks prior detailed analysis and is “...far from the classical

*and healthy benchmark of six to eight positions per unit*”<sup>4</sup>. The large number of divisions with only two or three civil servants (one is the head and the other is the subordinate) influence the reporting relationship and the normal distribution of work in the organization. Practically, one to one relationship is not conducive to good results. The creation of separate small divisions is not effective because fragments the same process of work in several units, creating difficulties of communication and coordination. On the other side, the creation of managerial positions just for increasing salaries should not influence the coherence of the structural organization of the institution. Instead, the need for fair salaries should be achieved by applying the new job evaluation procedure that allows different salaries’ levels.

The experts discussed with the Secretary General these issues and agreed to initiate a review of the organization to address them. The most appropriate time to start this process will be after the appointment of the new minister. In this way the new internal organization will reflect also the political priorities of the minister.

### *1.2.2. Relationship and reporting with agencies under MEST*

The creation of central institutions under the ministries is regulated by the law “On state Administration”. Based on this, all agencies should be established by the Government with a specific regulation. The standards for internal organization of agencies are foreseen in the law. However, there is one aspect not clearly developed in the legislation and that is also not fully developed in day to day practice. The reporting and cooperation relationship between the ministry and the agencies reporting to the ministry created some issues in the Kosovo administration in general.

Initially, based on UNMIK regulations, the agencies were titled as “independent agencies” although they were reporting to a ministry and were clearly implementing ministry’s policies and were receiving the budget from the ministry. They developed independence in what regards reporting to the Secretary General and reporting to substance departments within the ministries. This independence, although might be considered as positive aspect for some points, started to create some functional issues because the agencies were operating as “isolated islands” and were not fully onboard regarding policies and strategies developed by ministries. As they were reporting to the minister, the main observation was the lack of reporting to civil service part of the ministry and the impossibility of the ministers’ cabinet to effectively supervise the agencies.

The independence in planning and reporting, creating a fragmented policy planning framework, is illustrated by the Annual Work Plan process in MEST. The Annual Work Plan currently includes a narrow scope of functions of MEST that are under the responsibility of General Secretary while not including functions covered by the different agencies /institutes reporting directly to the minister. This means that the annual work plan does not cover all areas of MEST and does not serve as single planning tool for MEST.

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<sup>4</sup> Sigma Public Administration Reform Assessment of Kosovo, April 2014, pg.18

In many countries, Kosovo included, while the ministries are focused on policy formulation, the agencies are extensions of the ministries focused on regulatory functions and service delivery to the public. One department in the ministry's apparatus should lead and supervise the activity of the agency. This functional arrangement should be set in the internal regulation of the ministry and in the specific regulation setting up the agency. Only in this way the ministry can effectively design policies and implement these policies in a concerted manner with all the institutions belonging to that portfolio. In MEST, these arrangements are not established.

There are some agencies functioning under MEST and another one is being created. The Education Inspectorate is about to be transformed from January 2015. MEST should develop some capacities in the HR Division and other decision making staff to analyze the needs for creating new agencies, weighting the benefits for spinning off departments against increased running costs. Reporting arrangements should be made in the agencies' regulations and functional descriptions of the departments. In parallel, HR Division should be able to prepare transition plans for the functions and staff migration. The HR Division should be able to run every 5 years functional reviews for all the institutions in the MEST portfolio to increase effectiveness of the structures and improve efficiency.

#### ***Case study – Creation of the Education Inspectorate***

Currently the Education Inspectorate is listed as agency under the MEST (Art 40 of MEST internal regulation). But this institutional set up is not grounded with legal provisions. According to the Law on organization of state administration, "*...organs of state administrations are established by the government...*". Currently there is a draft law "On the establishment of Education Inspectorate". This draft is very vague and makes a lot of confusion regarding the status of the future inspectorate: in one case it is considered as "*central organ*", in another case as "*independent organ*", in a third case "*reports to the minister*".

Preparations for the establishment of the Inspectorate as separate organ were not accompanied with analysis why this organ should be separate from the ministry; what is the best modality of organization; how it will report to the ministry; how will be organized support services; what can be the job evaluation of the inspectors; what are financial costs, etc. In January 2015 the Inspectorate is expected to operate as separate entity, provided the law and regulation is approved, but it will be difficult without proper preparations and support from MEST HR Division. The confusion might last for months, disrupting normal flow of work.

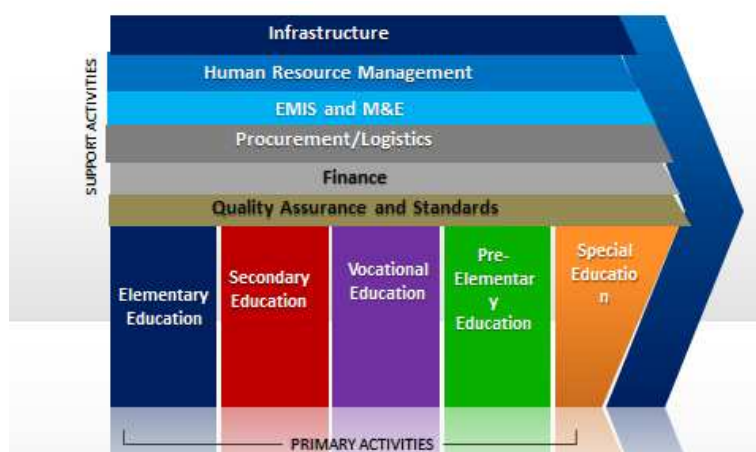
### ***1.2.3. MEST guidance to MEDs on organizational development and HRM***

The project extended the analysis to MEDs' organizational development and HRM practices. While MEST scores better, the situation in MEDs is more concerning. Internal organization in MEDs varies from one municipality to the other. The variation is not only in number of staff, but also in capacities and professions employed in MEDs. MEDs directors interviewed would welcome a model organizational structure and a framework of capacities from MEST, in order to guide their activities in determining the right structure.

While all municipalities have the same legal responsibilities in the education domain, the human resources allocated to them (in terms of manpower) vary from 2 to 27. Based on information in the

Budget Law 2014 the 5 largest municipalities (Prishtina, Prizren, Ferizaj, Peje and Gjakova) have from 12 to 27 staff in their MEDs. There is some but not a definite correlation between the size of the municipality (number of schools, pupils and teachers) and the number of staff in MEDs. Thus, for example, there are 185 teachers per one MED staff in Prizren while in Pristina, which is the largest municipality, only 117. In the 5 smallest municipalities, where the data was available, in the budget law for 2014 (Hani Elezit, Shterpce, Novoberde, Junik and Mamushe), the proportion is from 12 (Mamushe) to 53 (Shterpce) teachers per one MED staff<sup>5</sup>.

There is a view among some directors of the MEDs that regulation would be required in order to unify the size of MEDs, as they essentially have to deal with the same set of responsibilities. So, grading by size is suggested to reflect the size of municipalities and educational constituencies (number of pupils, schools and teachers) that the MEDs have to deal with. In the chart below we are presenting a provisional functions' framework that can be applied to all MEDs, with variances related to size:



Another pressing issue is the absence of MED staff with substantive role in the education process. An illustrative example is the Municipality of Prishtina. In 2013, it had 60 school institutions with 3,181 education staff employed. Among 24 staff members of the MED only 3 were working substantively with education issues. The other 21 staff dealt with aspects of HR, financial and asset management, logistics, IT, legal issues and other related functions. The MEDs primarily deal with more administrative and asset management matters and less so with substantive education issues.

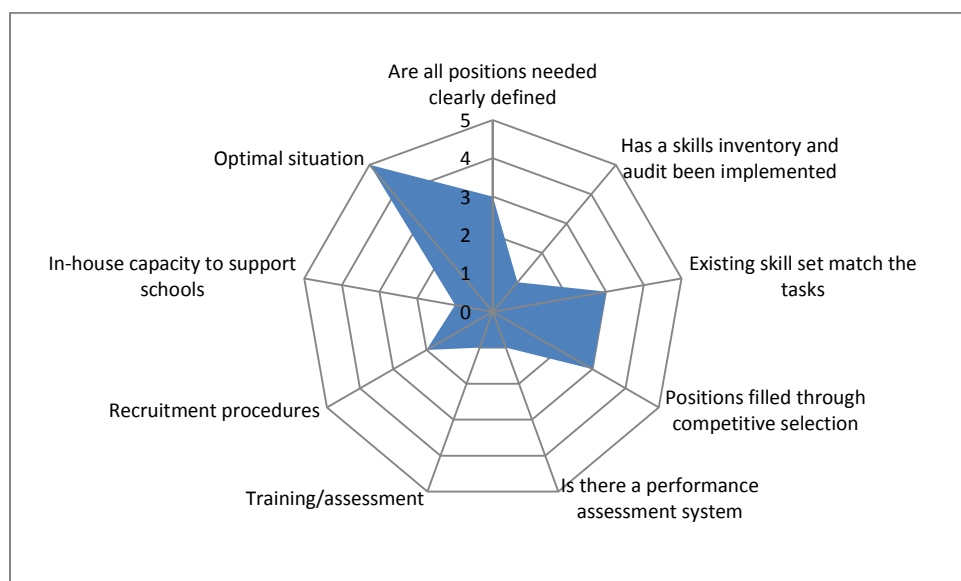
The MEST together with the MLGA and Ministry of Finance could initiate the process of functional review of administrative structures of municipalities in order to stock take the current situation, identify the lessons learned and propose way of improvement including in the education sphere. At the same time, the MEDs would benefit from clear guidance from the MEST about the best organization of the education administration in municipalities and sharing of the best practices. To some degree this is already taking place within the monthly meetings of the MEST and directors of MEDs as well as within the Education and Culture Collegium of the AKM. The MEST should continue to extend these forums and improve gaps in the communication between MEDs and municipal level.

<sup>5</sup> Data source NARMED 2014

MEDs noted that job descriptions do not exist in some cases or even if they exist, they tend to be old and not adapted to the current demands in the system. The existence of job description for an officer is an important element for appreciation of the tasks meant to be carried out and objectives to be achieved.

The MED's and the other organizations in the education sector have not done systematic skills' needs analyses for training purposes in the past. Training in all of them has been based largely on ad-hoc offerings made by various training agencies and donor agencies, or on ad-hoc requests made by members of staff. A unanimous and sometimes emphatic consensus appeared in both the qualitative and quantitative reviews with respect to the mix and level of skills in some areas. Generally speaking, there was a consensus that there are wide skills' gaps and that they relate both to general management skills and specific job-related skills.

In the chart below we scored different organizational developments and HRM processes in MEDs (1 lowest – 5 highest). Scoring is based on the data collected in the NARMED 2014 Report<sup>6</sup> and the subsequent interviews during the inception phase of the project. Different HRM processes were evaluated by the MEDs and by our experts. The results clearly demonstrate the need for guidance and support from MEST to MEDs.



<sup>6</sup> Needs Assessment Report on MED (NARMED) 2014 was elaborated in the framework of the ESPF.

#### 1.2.4. Job evaluation and job descriptions

In parallel with the elaboration of the new organogram the ministry elaborated new job descriptions. The same transposition process as for the internal structure was registered for the job descriptions as well. The old functions were transferred in the new format and sent to MPA for approval. The Law on State Administration states that the regulation on organization and systematization of the job positions shall be prepared by respective administrative body **“after a thorough analysis and assessment of the current situation and future needs** with regard to organizational structures and processes”<sup>7</sup>. These assessments were done superficially in MEST.

A job evaluation is a systematic process for defining the relative worth or size of jobs within an organization in order to establish internal relativities. It provides the basis for designing an equitable grade and pay structure, grading jobs in the structure and managing job and pay relativities. The evaluation of job levels of a Job Catalogue is one possibility to have an understanding, which jobs are of the same value in order to set the equal salary for jobs of the equal worth.

Currently, the evaluation of jobs in MEST is mostly based on “egalitarian” principles, rather than on the content of the job. Different positions in policy making departments have the same evaluation, and consequently the same salary, as in other support positions. Or, within the same division, positions with similar job descriptions currently have different job evaluations (coefficients).

##### **Case study – Job evaluation in Department for Development of Pre-University Education**

In the Division for Standards, Monitoring and Evaluation, 2 civil servants have the same salary grade as the head of division and one level higher compared to the other five civil servants in the division.

In the Division for Curricula and Text Books Developments one civil servant is graded one level higher to the others. In both cases job descriptions and responsibilities are similar.

The head of the second division is graded at a higher level compared to the head of the first division.

Best practices suggest there should be a difference in the importance between different categories of positions. Policy making departments should be evaluated higher, because they determine the existence of the institution and support departments exist to support policy making departments. The interviews with managers witness the dissatisfaction of staff regarding salaries’ levels and the implementation of the “egalitarian” principle<sup>8</sup>. The new job evaluation procedure should address this concern. The differences in the evaluation should reflect differences in job descriptions in terms of responsibilities and level of competence.

The job evaluation process was not implemented based on the rules and spirit of the regulation. One reason was the lack of a benchmarking system. The job catalogue was prepared by MPA after the new internal regulation was approved and salary grades proposed. The job catalogue and the grading methodology are still at the draft stage. When this report was written, the draft job catalogue was sent

<sup>7</sup> The article 34 of the Law No.03/L–189 on State Administration of the Republic of Kosovo

<sup>8</sup> Interviews with Department for Development of Pre-university Education

for comments by the Government<sup>9</sup>. Given the political stalemate, the MPA cannot estimate when the job catalogue and the methodology will be approved by the Government, although it is expected to happen within 2014.

With the approval of the job catalogue, all institutions should adapt the job descriptions and proposed salary grades to the benchmark models provided in the job catalogue. This grading process should happen in parallel with the implementation of the new salary structure for the civil service. Timing for this process is uncertain at this moment, given the financial implications. The MPA, supported by a WB project, elaborated also a “fiscal neutral” scenario. However this is a decision for the government and will involve several political and financial assessments. Most probably, the implementation of the new salary system will happen after the new government is in office.

The job evaluation process in MEST did not involve quantitative analysis of the functions performed by each department and division *vis a vis* the resources. As a result, the subsequent grading system was not based on quantitative analysis and evaluation of the importance of each job position *vis a vis* the others. The grading process was minimized to a transfer from the old salary scheme (coefficient) to the new salary grade.

Although processes have advanced in MEST, there is still the chance to embark into a real job evaluation process and implement the letter and the spirit of the job classification system. All institutions, ministries *in primis*, will be required to review the proposals for grading, based on the new job catalogue. MEST should review proposed grading based on the real value of each job position. HR Division and all heads of departments should be aware of the job evaluation methodology and be able to apply that in MEST.

The job evaluation is a complex procedure involving quantitative analysis, cross departments analysis, staff capacities assessments and business processes evaluation. HR Division should lead these processes and provide methodological support to heads of departments and other stakeholders in the ministry (General Secretary, cabinet of the minister). The best way to create these capacities is on the job training. The project will support HR Division pilot a thorough functional review, capacities assessment and job evaluation process in the Department for EU Integration and Policies Coordination. The practice can then be extended to whole ministry.

The finalization of the job evaluation procedures, based on the job catalogue, should be accompanied by new job descriptions reflecting the functions and value of each position. The HR Division should lead the process and provide methodological support to all the departments. Both, the job evaluation and job descriptions procedures should be extended to agencies under MEST. Some of these agencies are very small and will require methodological support from MEST. The HR Division should be in a position to provide this support as well.

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<sup>9</sup> Information provided in the interview with the Department for Civil Service Administration Director, MPA



#### *1.2.5. Conclusions as to the potential project interventions vis-à-vis identified gaps*

Based on findings and conclusions from this Gaps Study, we propose focusing support in this area to where the most value added by the project could be achieved, given its main focus on functional organizational structure. In particular, we suggest providing support to the MEST HR in the following areas:

1. **Support MEST to review the internal organization, develop, approve and disseminate SOPs related to internal organization review and the implementation of the new organizational structure and HR system.** These interventions are based on the findings that the new organizational structure is a simple transposition of the old organizational structure and did not involve a proper functional review exercise. Consequently, the new functional descriptions are similar to the old ones. In addition, MEST new organizational structure involves a broad management span for the top management to effectively control the activity of all these units. 8 department directors and 2 heads of autonomous divisions report directly to the General Secretary. He is also responsible for indirectly supervising the agencies reporting to MEST, 14 altogether.
2. **Pilot functional review DEUIPC, elaboration new functional description and job descriptions for the staff.** Building on the SOP developed the project will support the ministry run a functional review based on approved methodology. This intervention is based on the finding that and the distribution of the resources in the new organizational scheme is not regular, and one to one management is very frequent.
3. **Ongoing coaching to MEST's senior management and staff throughout the organization on various organizational design and HR issues.** HR Division and managers require additional capacities to perform quantitative functional analysis and business processes re-engineering to address management span and recourses' allocation issues. These capacities can be acquired through formal training, or coaching through the process.
4. **Support in the elaboration of the transition plan for the Education Inspectorate, cost benefit analysis and regulatory framework preparation.** This intervention is based on the finding that Agencies' organizational framework and constitutive regulations determine loose ties with MEST regarding planning, monitoring and reporting. Moreover, preparations for the establishment of the Inspectorate as separate organ were not accompanied with analysis why this organ should be separate from the ministry; what is the best modality of organization; how it will report to the ministry; how will be organized support services; what can be the job evaluation of the inspectors; what are financial costs, etc.
5. **Formal training, coaching and ongoing support to HR Division and Department Directors on organizational development.** Since HR Division and other managing officials need to improve capacities and understanding of the type of institutions that can be created and their cost/benefit

solutions. Existing capacities are insufficient to elaborate proper functional frameworks, operational schemes and staff transitional plans for new agencies.

6. **Pilot in one municipality. Elaborate standard organizational structure for MEDs, based on the size, model job descriptions and staff competency framework.** Internal organization in MEDs and capacities involved vary significantly, with repercussions in implementation of policies and standards promoted by MEST. While municipalities have independence in determining their internal organization, MEST might provide recommendations on how to organize MEDs and the framework of capacities required.
7. **Support of the MEST to put in place modern, state-to-the-art and law-compliant functional descriptions of MEST's units and staff job descriptions in line with the new organizational structure.** In the absence of a job catalogue, the job evaluation process in MEST was a simple transposition from the old coefficient system, to the new grading system. The process was not based on quantitative and qualitative evaluations of the functions and resources.
8. **Support MEST HR Division and managers to review job evaluations based on the job catalogue. Provide formal training on the methodology, ongoing support and coaching.** Job descriptions will have to reflect **the job evaluation and the diversity of responsibilities among staff, in cases of different grading.** Current job evaluation process is based on the “egalitarian principle”, while the new regulation calls for a differentiation in the job's value, based on specified criteria. HR Division and MEST managers need to improve understanding of the job evaluation methodology and principles and need technical guidance to implement the process. Also with the approval of the job catalogue and related methodology, all positions have to be evaluated again.

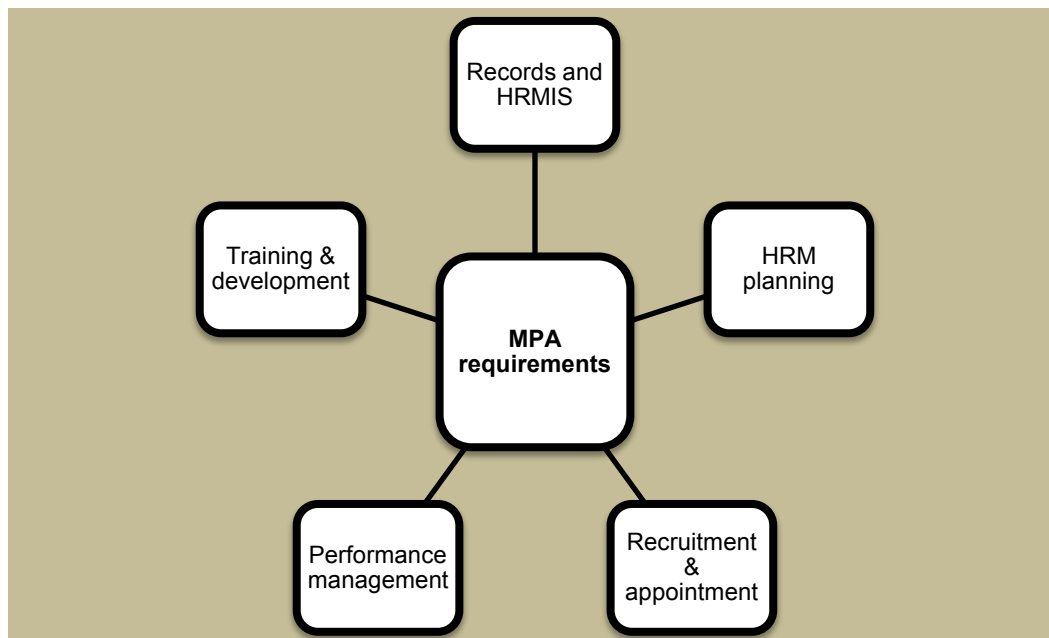
### 1.3. CONCLUSIONS AND PROJECT INTERVENTION:

Nr	Gaps and observations	Project intervention	Reference ToR
1	New organizational structure is a simple transposition of the old organizational structure and did not involve a proper functional review exercise	Support MEST to develop, approve and disseminate SOPs related to internal organization review and the implementation of the new organizational structure and HR system.	2.3, 2.4
2	MEST new organizational structure involves a broad management span for the top management	Support MEST to review the internal organization.	
3	Distribution of the resources in the new organizational scheme is not regular and one to one management is very frequent	Pilot functional review DEUIPC, elaboration new functional description and job descriptions for the staff.	2,3, 2.4, 2.9
4	HR Division and managers requires additional capacities to perform quantitative functional analysis and business processes re-engineering to address management span and recourses' allocation issues	Ongoing coaching to MEST's senior management and staff throughout the organization on various organizational design and HR issues.	2.9
5	Agencies' organizational framework and constitutive regulations determine loose ties with MEST regarding planning, monitoring and reporting	See component 1 activities for more details	
6	Creation of agencies is not preceded by thorough analysis regarding benefits in functions' implementation as against increased operational costs	Support in elaboration of the transition plan for the Education Inspectorate, cost benefit analysis and regulatory framework preparation.	2.3, 2.4, 2.9
7	HR Division and other managing officials need to improve capacities and understanding of the type of institutions that can be created and their cost/benefit solutions. Existing capacities are insufficient to elaborate proper functional frameworks, operational schemes and staff transitional plans for new agencies;	Formal training, coaching and ongoing support to HR Division and Department Directors on organizational development.	
8	Internal organization in MEDs and capacities involved vary significantly, with repercussions in implementation of policies and standards promoted by MEST. While municipalities have independence in determining their internal organization, MEST might provide recommendations on how to organize MEDs and the framework of capacities required.	Elaborate standard organizational structure for MEDs, based on the size, model job descriptions and staff competency framework. Pilot in one municipality.	
9	In the absence of a job catalogue, the job evaluation process in MEST was a simple transposition from the old coefficient system, to the new grading system. The process was not based on quantitative and qualitative evaluations of the functions and resources;	Support of the MEST to put in place modern, state-to-the-art and law-compliant functional descriptions of MEST's units and staff job descriptions in line with the new organizational structure	2.3
10	Current job evaluation is based on the "egalitarian principle", while the new regulation calls for a differentiation in the job's value, based	Support MEST HR Division and managers review job evaluations based on the job catalogue. Formal training on	2.3

	on specified criteria. With the approval of the job catalogue and related methodology, all positions have to be evaluated again	the methodology, ongoing support and coaching.	
11	HR Division and MEST managers need to improve understanding of the job evaluation methodology and principles and need technical guidance to implement the process		
12	Job descriptions will have to reflect the job evaluation and the diversity of responsibilities among staff, in cases of different grading.	Support MEST HR Division and managers review job descriptions based on functional descriptions and job evaluations. Formal training on the methodology, ongoing support and coaching.	2.3

## II. Assessment of the HR current practices/ their level of implementation as per the legislation requirements issued by MPA

This section relates to the human resources management processes that should be implemented in MEST. To date, all HRM processes are regulated by MAP or Government regulations or administrative instructions. Despite some shortcomings related to complexity of the procedures, the legal framework is modern and, if correctly implemented, will boost the management of human resources in all civil service institutions. The guidelines for implementation of several processes were elaborated by MPA, and respective training has been provided to HR managers in institutions. However, the implementation of these processes remains the most challenging point at this stage.



Since job descriptions and job evaluation processes were analyzed in the previous section, this part will elaborate the remaining HRM processes in MEST. We mapped the current formal and informal practices of the HRM and HRD in the MEST looking on existing rules and regulations and their compliance to the standards set by the MPA and implementation degree.

As a general observation we note there are very few statistics related to HRM procedures in MEST. The HR Division and other relevant stakeholders do not use statistics and other relevant data to base their analysis and design future interventions. This situation is common for the civil service institutions in Kosovo. The Annual Civil Service Report prepared by MPA is also poor in statistics and data. Indicators' based analysis lack completely. The use of Human Resources Management Information System (HRMIS) is expected to improve the situation, but the first obvious results can be expected only by the end of 2015.

The complex civil service and salaries legal framework was not accompanied by information campaigns or by extensive trainings. MPA organized some training modules, but not systematically and did not create a “cascading” system. As a result of this, the knowledge remained to the only few participants from institutions, and could not spread to other levels. Therefore implementation of several procedures was delayed, or was affected by diverse issues.

The HRM procedures in MEST are confined to only administrative activities and compliance procedures. All work processes are highly manual and electronic systems are not used. The strategic and development function of HR is lacking in MEST. HR Division influence over the other departments or several processes is limited.

## **2.1. PERSONNEL PLANNING IN MEST**

The institutions in Kosovo are not very familiar with planning the need for resources, or creating succession plans. Several factors have influenced these. The Government of Kosovo is still in a “creation stage” regarding the architecture of public administration institutions. In all these years were created from scratch many institutions, based on the new functions described in the adopted legislation. The institutions were mostly concerned with spinning off, neglecting functional reviews and staff rationalization processes.

The development of sector wide strategies, like KESP in MEST, or other strategic documents was never accompanied with analysis related to new functions and required resources, being quantitative analysis (number of staff), or qualitative ones (capacities frameworks). Planning the personnel and deciding on the capacities was always left as the last activity before the creation of an agency. If the new functions were allocated to existing departments, the existing civil servants were requested to perform those as well.

There are at least two recent examples that illustrate this situation in MEST. First, the creation of the DEUIPC and allocation of policy coordination functions was not accompanied with staff assessment procedures (both quantitative and qualitative assessment). Second, the expected creation of the Education Inspectorate as a separate agency was not preceded by resource planning analysis.

Since several years now the MoF and the Government are very conservative in adding staff to the institutions, given the budgetary constraints. However, the institutions, MEST included, are very passive in arguing the need for additional staff (if needed), or staff reshuffle. The legal framework also was not very favorable for these procedures. With the approval of the new civil service law, the government approved two procedures that are supposed to facilitate the need of the institutions for additional competencies and staff, or reshuffling existing civil servants: personnel planning and redundancy list procedures.

Based on the Personnel Planning Regulation No. 02/14, all institutions should plan their need for resources, their needs for additional capacities and normal staff turnover (retirements). This plan should

be prepared in parallel with the MTEF procedure and the ministry should present the plan to MPA by October. The plan should include an analysis on the strategic objectives and plans of the organization and the needs for resources and capacities. MEST has not prepared such a plan in 2014, perhaps because the regulation was new and MPA was not really pushing for it and because the budget planning cycle was already running ahead.

The lack of personnel planning, and a detachment of strategic planning from personnel needs were highlighted in earlier reports in MEST<sup>10</sup>. This plan should be completed by MEST from 2015, and the project could support the ministry to develop it. First, within the JAR and MTEF processes the project can support MEST identify the needs for new capacities and resources and integrate in the budget proposals. Second, the project can support HR Division create a system for assessing existing capacities and prepare the personnel plan within the deadlines set by MPA. This activity fits very well with several other activities under the project. SOP might be developed by the HR Division, with project's support.

## **2.2. RECRUITMENT AND SELECTION IN MEST**

The recruitment procedure is implemented in MEST, based on the new regulation for recruitment of civil servants. The turnover in MEST is not particularly high (3,5% in 2014) and recruitment of new staff is limited. 17 new recruitment procedures were organized in 2014, out of which 8 were internal promotions or transfers. So far, the recruitment was not problematic, as only two complaints were registered from the applicants. One case was rejected and the other one is still under investigation.

In general, the recruitment in the civil service is lengthy and complicated, given the very complex legal framework in force<sup>11</sup>. The stages of the recruitment process are split in 5 regulations, creating some interpretation difficulties for HR practitioners. The MPA is analyzing the possibility to amend the recruitment regulation, but that might be materialized after the foreseen amendments to the civil service law.

Implementation of the recruitment procedures in MEST were facilitated by the guidelines issued by MPA. However, only HR Division staff is familiar with these guidelines, while other managers should command certain recruitment skills, especially the participants in the evaluation commissions. The Department for Civil Service Administration in MPA elaborated a set of multiple choice questions for the general part of the recruitment, used also by MEST. For the specific part of the test, MEST officials, members of the recruitment commission, prepare the topics and questions.

A recruitment planning and monitoring instrument (tracker) is lacking. There were cases when positions remained vacant for several months and the recruitment procedures were not organized.

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<sup>10</sup> The FRIDOM Report 2009 pointed out that "What is also missing is the coordination of strategic activities in the institutions with the resources required to implement those activities... and HR units are not involved in the part related **to resources required** for that"

<sup>11</sup> Comments and recommendation on recruitment regulation and procedures linked with promotion and transfer by Ansi Shundi, DFID project, July 2011

The interviews seem to be the least developed part of the recruitment procedure in MEST. Due to the lack of experience of the participants and their relative capacities in recruitment interviews, the interviews were mostly a repetition of the written test. Some directors mentioned that the questions sometime do not correspond with the position requirements. The HR manager in MEST requested assistance on capacity building as far as the recruitment stage of testing and interviewing are concerned.

HR staff needs additional capacities to better plan recruitments and manage the recruitment procedures. Moreover, training should be organized on recruitment interviews' skills and in general for recruitment techniques for habitual members of the testing commissions. The project can support all these activities in MEST.

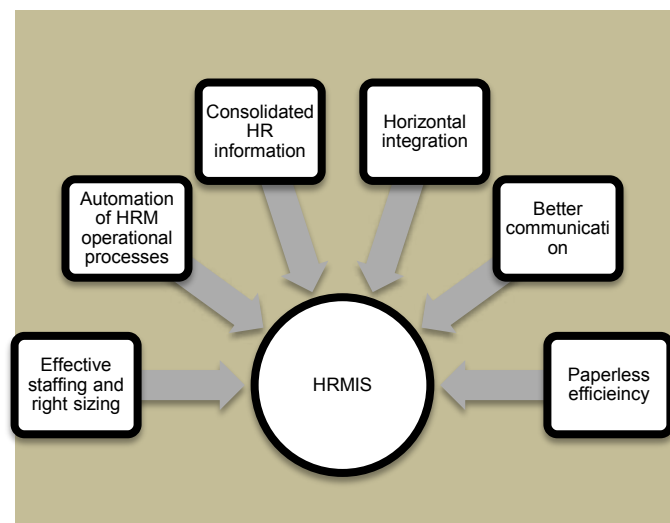
The induction training for new comers is not well established. It is more done in a simple presentation way- walking the staff in the departments for introduction, but it is not done through an induction schedule meaning substantial organizational and job orientation for the newly recruited staff. Effective induction leads to successful probation. In the HR Handbook should be elaborated a standard procedure and modalities for induction in the institution. It can be a meeting schedule for the first two weeks with the relevant departments, divisions to have the macro view on the ministry. Then, narrowing the scope to the core team tasks.

### 2.3. MANAGEMENT OF PERSONNEL FILES

The other HR practice that is largely implemented in MEST is the management of personnel files (Personnel)<sup>12</sup>. However, even though the hard copy personnel files are in place, **the detailed electronic personnel data base is lacking**. The lack of electronic data prevents HR Division and MEST to fully utilize workforce data not only for statistics purposes, but also as an important up to date tool for strategic planning, training, and capacity building.

Also, the other parts of HR administration, such as leave management are done manually, in the absence of an electronic data base. The payroll is also prepared manually and then loaded to another application in MPA. The manual implementation of these processes and the lack of electronic databases creates unnecessary overload for the HR Division most of their time is spent in simple administration, instead of preparing plans and strategic documents.

Benefits of a modern HRMIS at MEST



<sup>12</sup> Regulation No. 03/2011 On civil servants files and central register



MPA has created a Human Resources Management Information System (HRMIS) that is expected to facilitate the life of HR staff in all civil service institutions. The HRMIS, besides being a files and records electronic system, will provide several management tools to the HR staff. All recruitments are expected to be managed electronically, leave management and performance appraisal too. Ultimately, HRMIS will automatically feed with information the pay roll and will generate electronically the salary (this will be the final implementation stage). Finally, the system will be accessible by each civil servant, and can be used to generate statistical reports and other information related to staff and capacities.

The system was initially tested in MPA and some other institutions, and will be extended to other institutions as a pilot phase. The project negotiated with MPA and agreed to include MEST in the first group of institutions. The project will support MEST in implementing the HRMIS. MEST HR Division is enthusiastic of this possibility and eager to start implement the system as soon as possible. Until the end of 2014 the pilot institutions will populate the database with data related to existing civil servants and other employees and from 2015 start using the other features of the system.

HRMIS would bring efficiency and modernize the working processes, while better utilizing time and resources. Such a system shall streamline administrative procedures, manage employee records and reduce the need for paperwork and manual records. Consequently, HR Division will be able to plan better the needs for resources, required capacities and determine training needs, as well as training management.

## **2.4. PERFORMANCE MANAGEMENT**

MEST formally implements the employee performance appraisal. However this is a very formal process and the appraisal form ends up in personnel files. Almost all civil servants are evaluated in the two top score levels. This situation is similar to other institutions in Kosovo. Managers and institutions in general do not pay attention to this procedure, because so far it does not produce any effect for the civil servants. **There is no performance management system in place**, which could synchronize the two (inexistent) key systems: the pay-for- performance and the staff development plans.

Nevertheless, a new regulation on performance appraisal is in force now and this year should be implemented for the first time. The MPA considers performance appraisal as one of the challenges for 2014 for all civil service institutions<sup>13</sup> and the EC Progress Report 2014 stresses this as a priority for the government<sup>14</sup>. The new regulation is very challenging management wise, because sets some limits for each evaluation level (not more than 5% of MEST staff should be appraised as excellent, 15% as very good and 30% good). Also the effects that will be produced are important, varying from promotion in salaries steps (horizontal promotion) to conditions for vertical promotion.

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<sup>13</sup> Civil Service Annual Report, June 2014

<sup>14</sup> Kosovo 2014 Progress Report

Preparations for implementation are lagging behind in MEST and managers are little aware of the procedure and techniques. HR Division would require support in increasing capacities for managers to implement the procedure and also for managing the process in general. The support will be required for explaining the evaluation procedure (the system introduced is different from the old one) and in setting new objectives for the next year. Also interviewing skills for conducting the appraisal should be improved.

The HR Division will need support in managing the whole process in general, and ensuring the caps set by the regulation are respected. In addition, it is important to manage also the training needs assessment process and the training plan, that both derive from the performance appraisal procedures (see next section for more details). The project can support HR Division to prepare a plan for implementation (that could be part of the HR Handbook in the future), increase capacities of managers for performance appraisal and interviewing skills, as well as support on the other processes during 2015. Cascading down from strategic objectives of the institution to departmental and individual objectives is the challenge for the beginning of 2015. SOP can be elaborated in this regard, to cover the whole process.

## **2.5. TRAINING NEEDS ASSESSMENT AND DEVELOPMENT PLANS**

In the last years numerous trainings and capacities development programs were implemented in MEST. Trainings provided by public institutions (KIPA, MPA, etc.) were combined with trainings and capacities' building programs provided by different development partners. MEST is one of the few institutions in Kosovo implementing a sector wide Capacities Development Plan, which implementation objective stands at the fundamentals of the Education Sector Pool Fund.

While trainings were abundant they always were offer driven and MEST had limited involvement in steering the activities and actively participating in trainings' design and management of the offer. Current situation is far from a demand driven one. Two factors have influenced this situation:

### ***a. Lack of training needs assessment (TNA) practice:***

While the MPA approved since 2011 the methodology for TNA in all public institutions, MEST has never implemented such procedure, nor elaborated individual or institutional training plans as required by the methodology.

The TNA procedure was closely linked with performance appraisal procedure. This one was never an effective procedure and was completely neglected by the managers, therefore negatively influenced the identification of training needs. In the last part of the performance appraisal procedure, the superior and the subordinate should describe training needs. HR Division in the institution should collect all the information from performance appraisal forms and elaborate institution's training needs. Subsequently, these needs should be transformed in the institution's development plan. This was never the case in MEST, as in many other institutions in Kosovo public administration.

With the introduction of the new performance appraisal procedure, MPA will be more demanding in what relates to TNA and training plans for the institutions. MEST has to comply with this and elaborate the documents.

***b. Lack of internally driven development plans in the institution***

As explained in previous sections, the capacities assessment in MEST was never done as habitual process. It was done occasionally, fragmented and not systematic. The involvement of HR Division in this process was minimal. It is pointed out, that the analysis related to cascading down from strategic objectives to requested long and mid-term capacities, and to staff capacity development needs was never systematically implemented in MEST. The Capacities Development Plan is the best example of such plans and should be extended in the future, even though it was donor driven and not entirely owned by the HR Division in MEST.

Training programs were always driven by external providers. At the beginning of the year KIPA informs each institution on the list of trainings, and the institutions will have to pick up from the list. KIPA TNA is not driven by the institutions, but elaborated using some indirect tools and informing mechanisms. Similar process takes place with the trainings provided by different development partners. These trainings are driven by specific requirements in the ToR. It happened frequently that trainings were repeated and the resources were used inefficiently. All this misalignment is due to the lack of capacity development plan, no steering mechanism in MEST and there is no database of trainings provided and trainees participating. Consequently, HR approach to staff training is responsive rather than proactive guided by a well-established HRD plan.

In the first quarter of 2015 the HR Division in MEST is expected to complete the TNA procedure and elaborate the data. As this will be the first time for them, based on the new procedure, they will need coaching and guidance on the process. The project can provide this support, also because the TNA methodology was elaborated by some of our key and short term experts.

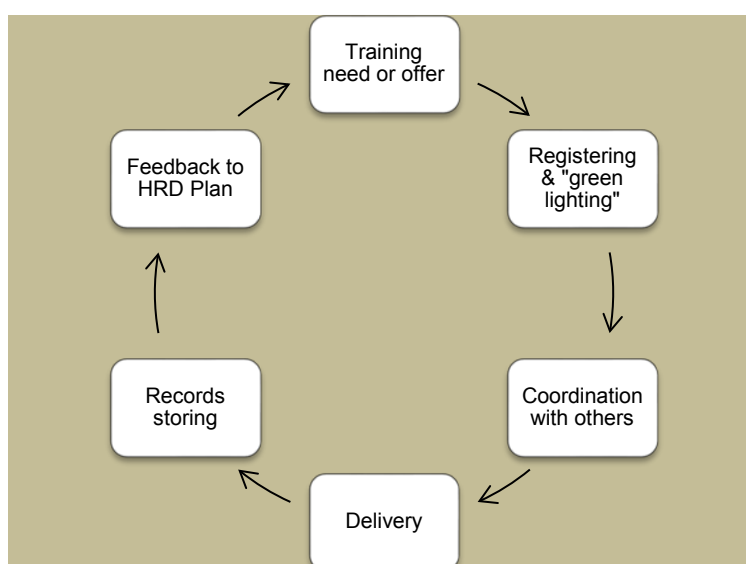
The TNA in MEST should be further developed into a **Human Resources Development (HRD) Plan**. The timing is appropriate, because in 2015 MEST will analyze the implementation of KESP and will start the activities for the preparation of the new KESP. In this regard, the HR Division should have an active role in coordinating all the efforts with the other departments related to capacities needed. A process of identification of needed capacities versus existing capacities should be created and run in MEST under the supervision of the HR Division.

The implementation of the HRMIS should improve the situation related to training management and finally fill the gap of a missing training database. All trainings should be registered and the HR Division should take the lead and be the focal point for training. After the HRD plan is developed, all departments should report all training offers to HR Division, that should check the relevance of the training *vis a vis* the capacities gap. HR Division should advice department directors and general secretary on participation in trainings for each civil servant in MEST.

While KIPA organizes general training relevant for all civil service institutions, MEST has continuously benefited specialized training targeting education sector professionals. These trainings were organized

by MEST units, or provided by different development partners. HR Division has no database of all these curricula and is in the impossibility to replicate the trainings, in case the needs arise. HR Division should create the library of training curricula provided by different donors or even by MEST department. Trainers should be identified among the participants, especially in specialized topics. A learning process should be put in place using also experiences gathered during numerous study visits or official visits in different countries.

The process should show like the scheme below. The project can support HR Division in MEST implement such process:



MEST should in a way support the staff in MEDs increase their capacities in implementing the policies and the standards promoted by MEST departments. MEST, through HR Division, should implement periodic TNA in MEDs (every 3 years) and in parallel prepare capacities building plans for MEDs staff. Using different stakeholders within MEST portfolio, the HR Division should manage capacities building activities for the whole education sector. This should be a long term objective for MEST HR Division.

## 2.6. CONCLUSIONS AS TO THE POTENTIAL PROJECT INTERVENTIONS VIS-À-VIS IDENTIFIED GAPS

Based on findings and conclusions from this Gaps Study, we propose focusing support in this area to where the most value added by the project could be achieved given its main focus on HRM and HRD. In particular, we suggest providing support to the HR of the MEST in the following areas:

1. **Support HR Division in MEST to develop skills for strategic HRM, apart from implementing administrative functions.** Develop respective SOPs and train relevant staff. Moreover, organize coaching sessions with HR staff. This recommendation is based on the findings that HR function in

MEST is mainly administrative, and the strategic and development function of HR is lacking. In addition, the gap skill analysis findings have pointed out (section III) that the Directors and Heads of Divisions have self-marked **a skill gap in People Management competences**.

2. **Support HR Division to prepare the first personnel plan for MEST**, including staff capacities assessment and staff capacities needs. Prepare the respective SOP for this procedure. Train/coaching HR Division staff and other managers in MEST to perform such analysis in the future, and prepare specific proposals (the project will support HR Division elaborate a paper on creation of Education Inspectorate and related personnel issues). The assessment has found that personnel plans are not elaborated in MEST. Also, it is evident that strategies and organizational development activities are not accompanied with staffing plans, including quantitative and qualitative analysis.
3. **Organize training and capacities building activities with HR Division and members of recruitment panels**. Coach HR to improve quality of testing and interviewing techniques (quality of the questions). Assist them to tailor questions suited with the requirements of the positions. Currently the recruitment interviews are not very well structured and members of the panel are not capable some times to properly run the interview.
4. **Support HR to initiate and implement induction training for new comers in MEST**. Develop a special section in the HR Handbook and support HR Division for implementation. In coordination with departments/divisions, institutionalize an orientation program for newcomers. It can be a meeting schedule for the first two weeks with the relevant departments, divisions to have the macro view on the ministry. Then, narrowing the scope to the core team tasks.
5. **Support HR Division to implement HRMIS in MEST**, since HRMIS is not implemented in MEST, and all personnel files and HRM procedures are managed manually. Train the users, support data entry of current civil servants, develop HRM practices and create management reports.
6. **Support HR to implement the new performance appraisal procedure. Prepare the internal SOP to guide the process of staff performance appraisal, and support HR Division elaborate an implementation plan**. Train all managers in performance appraisal procedure and interviewing skills to conduct the appraisal, as well as in setting objectives based on institutions objectives. This recommendation is based on the finding that the substantial performance appraisal is not implemented in MEST, as per the new MPA regulation in place. Also, the capacities to implement the procedure are weak, and the necessary guidance was not provided to MEST.
7. **Support HR Division implements the TNA in MEST, following the performance appraisal procedure and subsequently prepare the training plan for the institution**. Develop this plan into the first HRD plan and report on implementation. Support HR to develop the respective internal SOP. In addition, support HR Division to create a library of all training curricula in MEST, and create a learning process in the institution. A curricula library including all trainings provided by domestic or international providers is not in place. The training process in MEST is offer driven and TNA process not

implemented substantially. Consequently, the training plans are not elaborated by HR Division. Also the Identification of required capacities, based on strategic plans is not implemented in MEST. Trainings are not registered and HR Division does not control the process.

8. **Extend the TNA procedure from MEST into MEDs and implement it every 3 years to assess MEDs needs**, based on policies developed by MEST. Create the respective SOP for HR Division and support its implementation during 2015. Currently MEST lacks a system in place to continuously monitor and assess MEDs capacities vis a vis requirements deriving from MEST policies and standards.

## CONCLUSIONS AND PROJECT INTERVENTION:

Nr	Gaps and observations	Project intervention	Reference ToR
1	HR function in MEST is mainly administrative. The strategic and development function of HR is lacking in MEST. As the gap skill analysis findings point out (section III), the Directors and Heads of Divisions have self-marked a skill gap in People Management competences.	Support HR Division in MEST implements his administrative functions and develop skills for strategic HRM. Develop SOPs and train relevant staff. Organize coaching sessions with HR staff.	2.4, 2.7, 2.8, 2.9, 3.3
2	Personnel plans are not elaborated in MEST. Strategies and organizational development activities are not accompanied with staffing plans, including quantitative and qualitative analysis.	Support HR Division to prepare the first personnel plan for MEST, including capacities assessment and capacities needs. Prepare SOP for the procedure. Train/ coaching HR Division staff and other managers in MEST to perform such analysis in the future and prepare specific proposals (paper on creation of Education Inspectorate and related personnel issues).	2.4, 2.5, 2.7, 2.8, 2.9, 3.2, 3.3
3	The recruitment interviews are not very well structured and members of the panel are not capable some times to properly run the interview.	Organize training and capacities building activities with HR Division and members of recruitment panels. Coach HR to improve quality of testing and interviewing techniques (quality of the questions) Assist them to tailor questions suited with the requirements of the positions.	2.9
4	Induction training for new comers in the civil service is not well organized	Develop a special section in the HR Handbook and support HR Division for implementation. In coordination with departments/divisions, institutionalize an orientation program for newcomers. It can be a meeting schedule for the first two weeks with the relevant departments, divisions to have the macro view on the ministry. Then, narrowing the scope to the core team.	2.5, 2.9
5	Personnel files and HRM procedures are managed manually. HRMIS is not implemented.	Support HR Division implements HRMIS in MEST. Train the users, support data entry of current civil servants, develop HRM practices and create management reports	2.6
6	The performance appraisal is not implemented. Capacities to implement the procedure are weak. Guidance is not provided.	Prepare internal SOP to guide the process; support HR Division elaborate an implementation plan. Train all managers in performance appraisal procedure and interviewing skills, as well as in setting objectives based on institutions objectives.	2.4, 2.5, 2.9, 3.3
7	Training process is offer driven and TNA process not implemented	Support HR Division implements the TNA in MEST,	2.4, 2.5, 2.7,

	substantially. Training plans are not elaborated by HR Division. Identification of required capacities, based on strategic plans is not implemented. Trainings are not registered and HR Division does not control the process. A curricula library including all trainings provided by domestic or international providers is not in place.	following the performance appraisal procedure and subsequently prepare the training plan for the institution. Develop internal SOP. Develop this plan into the first HRD plan and report on implementation. Support HR Division to create a library of all training curricula in MEST and create a learning process in the institution.	2.8, 2.9, 3.2, 3.3, 3.4
8	MEST has not put a system in place to continuously monitor and assess MEDs capacities vis a vis requirements deriving from MEST policies and standards. TNA in MEDs are implemented occasionally.	Extend the TNA procedure from MEST into MEDs and implement it every 3 years to assess MEDs needs. Create SOP for HR Division and support implementation during 2015.	2.4, 2.7, 2.9



## III. Capacity Assessment

### 3.1. METHODOLOGICAL APPROACH

Capacity assessments are based on various models – though UNESCO Education Institute has adopted a more of a consensus approach that tackles capacity issues in a three dimensional framework:

- capacity needs at institutional level (enabling environment),
- capacity assessment at organizational level, and
- capacity assessment at individual level.

While other capacity gaps reports are underway to assess the capacity issues at institutional and organizational level (Policy gaps, Financial Management Gaps, HR System Gaps, MED Gaps), the purpose of this capacity assessment chapter is to analyze and summarize individual capacity gaps.

Having clarified the **focus of the assessment**, there are another two points to be addressed: (1) Capacity for what policy domains? And (2) capacity for performing what functions? A typical menu of policy issues for which an education ministry requires planning and implementation capacity according to the analytical framework of UNESCO Education Institute are: (i) strategic policy planning, (ii) governance and management, (iii) planning and managing human resources, (iv) planning and managing financial resources and (v) Information and communication technology.

The **objective** of the capacity gaps report is twofold:

- firstly, it intends to gather baseline information to assess the understanding of MEST officials and their capacities form a baseline against which it will be possible to measure improvement;
- secondly, it assesses training needs to identify the awareness, knowledge gaps and training needs of MEST officials. The exercise helps the project to craft a customized training program and package of technical assistance.

It should be noted that this is a provisional exercise while pending the outcomes of the implementation of individual performance appraisal by MEST. These results are expected in January 2015 (month 5 of project implementation). The observations provided in this chapter as well as the upcoming individual training assessment needs in the performance assessment system shall form the backbone of the future MEST Human Resource Development Plan to be delivered in month 7 of the project implementation. The HRD Plan will be further informed by the results of JAR in February 2015 to cover all angles of policy development needs in MEST for the next period.

The **capacity assessment methodology** included both qualitative and quantitative methods. Firstly, the project administered a quantitative survey with both MEST and municipal level officers. Secondly, the findings of the survey were tested and furthered discussed in semi-structured interviews with informants at both MEST and

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MED. The **baseline survey** was conducted from 01-31 October 2014. The questionnaire<sup>15</sup> addressed several components: 1) Process Management, (2) People Management, (3) Financial Management, (4) Ethics, (5) Strategic thinking and innovation, (6) Stakeholder communication and engagement, (7) Soft skills in foreign language communication and information technology and (8) Staff competencies. The survey was designed in a self-completion format, using both close-ended and open-ended questions. Beside self-assessment, a special section was created for assessment of the subordinate staff from the managers.

Each respondent was asked to answer a set of rank-ordered options from 1-5 scale- where '1' indicates the absence of knowledge/skills while '5' indicates the highest level of knowledge.

1	No knowledge/skills	1
2	Basic knowledge/skills	2
3	Need support	3
4	Independent	4
5	Trainer	5

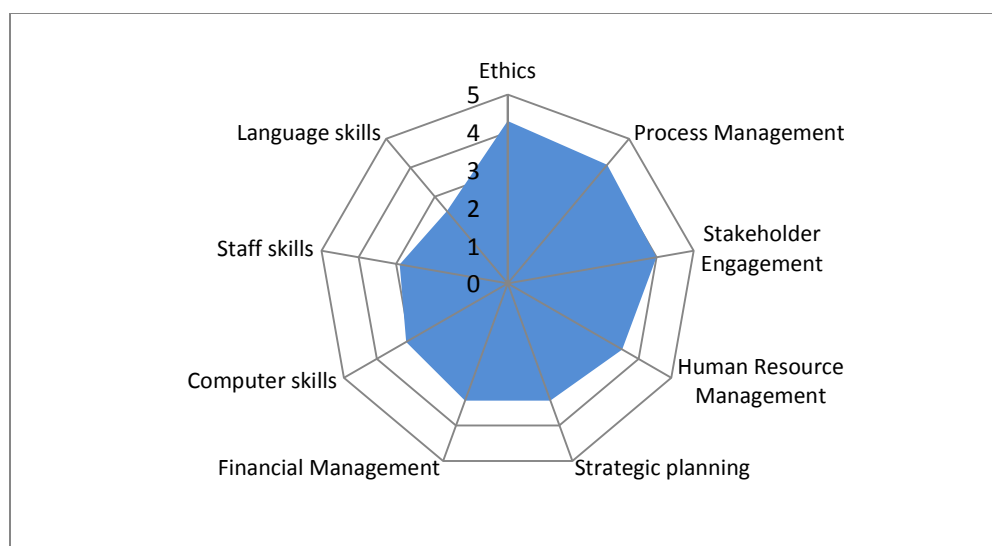
Each respondent was asked to complete all questions regardless of their position. The sample questionnaire was delivered to 75 officials. The response rate was 72 percent. Respondents were split into two stratification categories: by institution and position. Respondents included both MEST and Municipal Directorates Directors. Out of the total 52 questionnaire samples, 17 were returned by MED Directors while the rest were from MEST. In gender terms, 37 of the respondents were men while 15 were women. The staff categories involved in the survey included: 17 MED Directors, 8 MEST Heads of Department, 17 Heads of Division and 6 staff members. SPSS Statistical Package was used in processing the survey responses.

### 3.2. MAIN OBSERVATIONS

The training needs assessment survey at MEST and MEDs revealed that respondents felt competent enough and could perform independently in stakeholder engagement, process management and ethics. Their assessment was that they had no or basic soft skills (foreign languages and computer skills) and needed support in enhancing their staff skills, strategic planning, human resource management and financial management.

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<sup>15</sup> Annex 1 to this report



Assessment of **training needs differs on the basis of which institutions is involved** (MEST or MED) and level of management (Heads of Departments, Heads of Divisions and Officers):

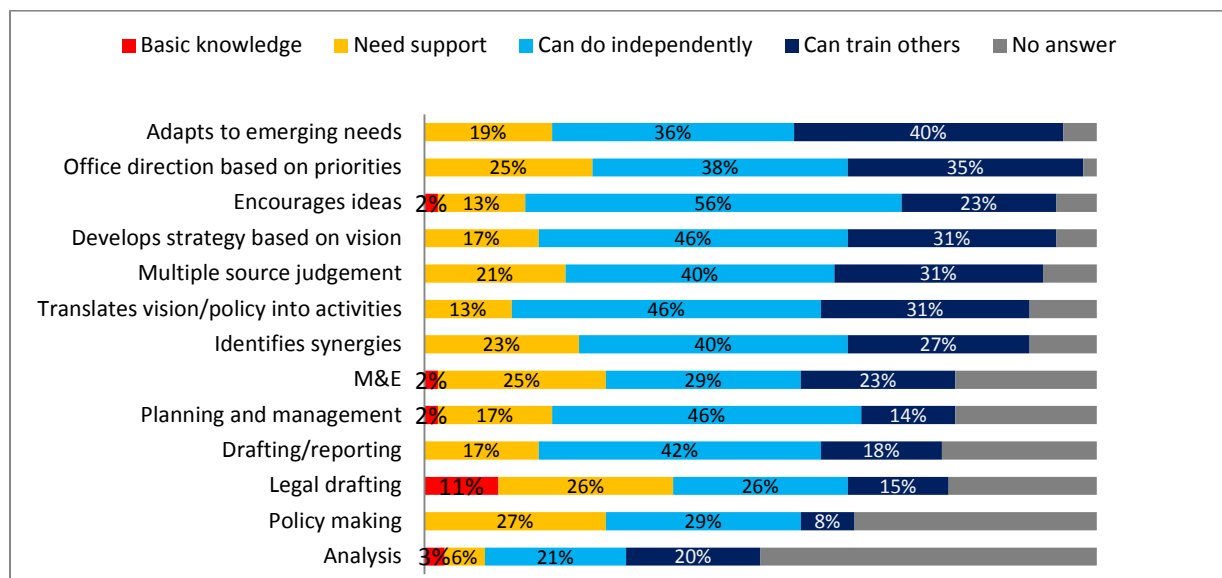
- *Heads of Departments* indicated that they need support in strategic planning, enhancing their staff skills, stakeholder management, human resource and financial management, soft skills (computer and foreign languages).
- *Heads of Divisions* indicated that they had basic knowledge and skills in foreign languages and ICT while would need support in performing the functions of human resource management, financial management and strategic planning.
- For the *Officers* it was indicated that they had no or basic skills on financial management and human resource management practices and would need support on a whole range of soft skills and strategic planning.
- *MED Directors* most pressing need is enhancing their staff skills and foreign language training and would need further support in strategic planning, process management, financial and human resource management.

	OVERVIEW	Department	Divisions	Staff <sup>16</sup>	MED	Total
1	Strategic Planning and Thinking	3.4	3.6	3.4	3	3.3
2	Process Management	4.4	4.2	4.2	3.8	4.1
3	Human Resource Management	3.9	3.4	2.9	3.7	3.5
4	Financial Management	3.9	3.5	2.2	3.8	3.3
5	Stakeholder Engagement	3.8	4	4.3	4	4
6	Computer skills	3	3.2	2.8	3.5	3.1
7	Language skills	2.2	2.6	3	2.5	2.5
8	Ethics	4.4	4.2	4.4	4.2	4.3
9	Staff skills	3.2	3.1	2.9	2.6	2.9

<sup>16</sup> Involves training needs for the staff as assessed by the managers.

### 3.2.1. Strategic planning

MEST staff **lack adequate skills in integrated (strategic) planning, policy planning, financial planning and use of education data into planning and monitoring.** The following information is based on the self-assessment survey held by the HR project team members for the level of Department Directors and Head of Divisions within the MEST. Respondents indicated on average a high level of competence in performing all functions independently or even train others. However, they felt the least competent in performing independently in analysis, policymaking and legal drafting. When asked to suggest the functions that they would need further support, about 37% reported legal drafting, 27% in monitoring and evaluation and 27% in policymaking.



The interviews held with MEST and MED officers revealed that few education officers have sound competence in this range of skills and even fewer have had consistent access to training and mentoring. This stems firstly from the evolving governance structure of the education system from highly centralized to a decentralized system with major sub-sectors operating outside of MEST structure (municipal education, universities, and independent agencies). Secondly, in the early phase of restructuring the MEST has understandably dedicated its limited resources to performing the most basic and pressing needs. Sector wide reforms and internal dynamics have let few officers with experience in managing the cycle of planning through to monitoring and evaluation.

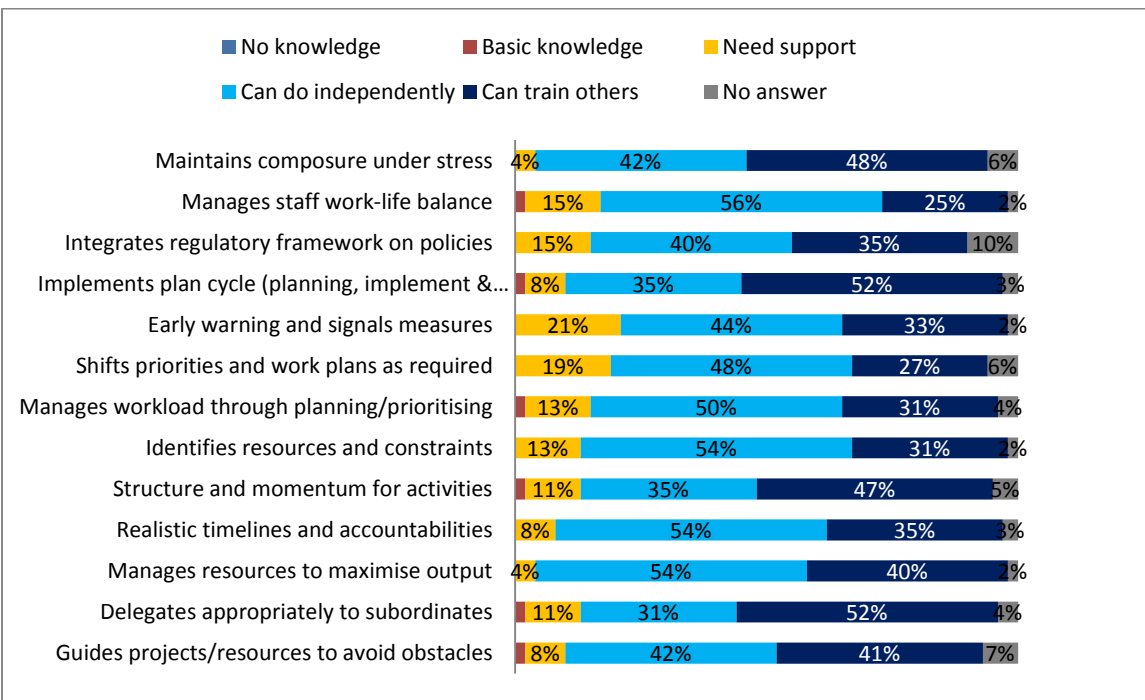
There are **no significant differences in respondents' self-assessment** of their strategic planning and thinking skills **when analyzed from a staff level perspective** – department directors, division heads, officers indicated that office direction is based on strategic priorities and that the strategy is based on vision. However, all respondents' categories, with the exception of education officers, noted that they need support in translating strategy/policy into activities. A significant percentage of those surveyed from all spectrum of education level indicated they would need support in legal drafting, monitoring and evaluation and policymaking. Situation is more difficult at MED than at MEST level. Most MED Directors were unaware of national strategic education documents and had difficulty in understanding their share of responsibility in implementation.

There is no structured analysis, assessment and scenario planning neither at central nor at local level. Analysis of available information is carried out in narrow circles. There is no reported use of Education Simulation Model in strategic planning and target-setting – which is an essential tool for education planning and the budget cycle. Over the years, gaps in capacities and numbers of staff in the areas of planning and budgeting have been supplemented by technical assistance support.

### 3.2.2. Process management

An attempt was made to measure the **gap between policy planning and implementation** (process management). Respondents were asked to assess the frequency and extent that plans and policies from the center are actually implemented. The vast majority responded in a positive way while a smaller percentage suggested that there were gaps between plans and implementation.

Despite the very positive self-assessment findings, interviews with staff members show significant monitoring and reporting problems. The skills and knowledge of practices were much more deficient at MED level. MEST staff did not indicate any major skill gaps in process management. However, a broader analysis reveals a set of **skill gaps in the area of distribution of roles and responsibilities of actors involved, organization of education system, coordination and communication between different actors and monitoring and reporting implementation.**



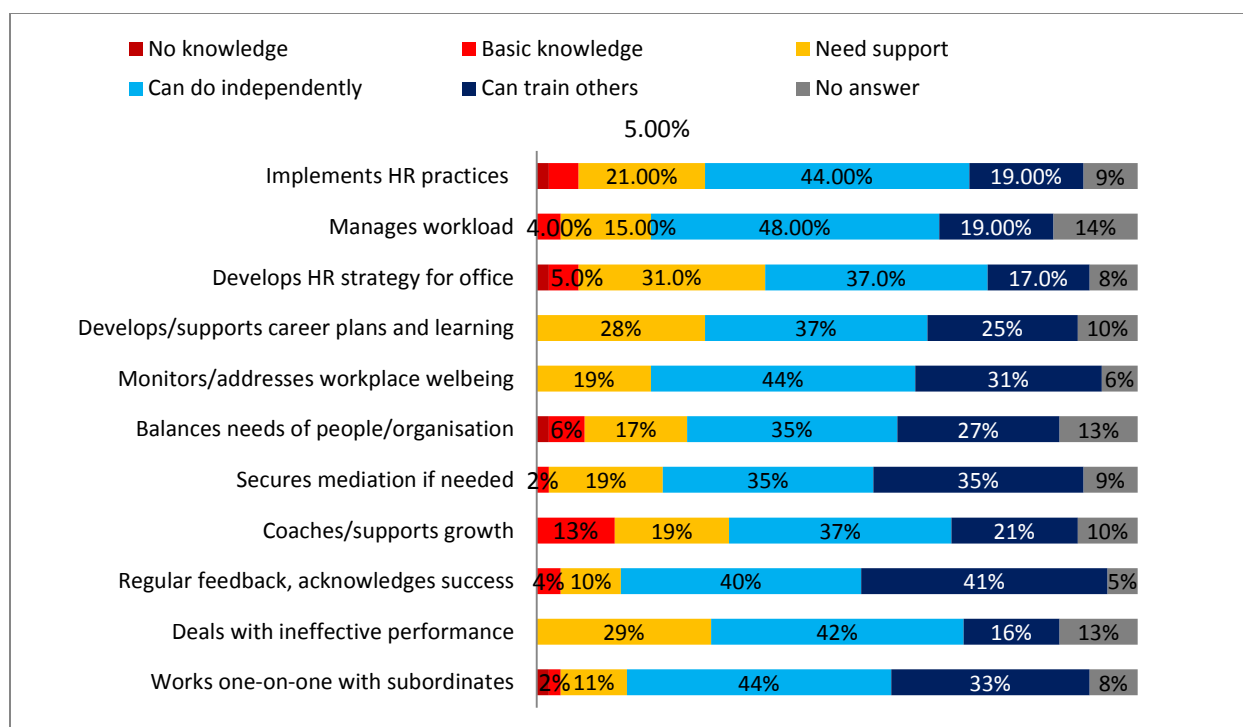
### 3.2.3. HRM planning and management

Overall, the Training Needs assessment survey found **the need for planning and sound human resource management as a key capacity gap.** Most respondents consistently ranked this policy domain as in need of

support. There are significant differences among respondents categories – Heads of Departments and MED Directors reporting a better situation compared to Heads of Divisions and Officers. Officers indicated that they needed a system to deal with ineffective performance, coaching and opportunities for growth, a more standardized approach in balancing the needs of organization and people, more equitable distribution of career development opportunities and more transparent and accountable HR practices.

	<b>HUMAN RESOURCE MANAGEMENT</b>	Department	Divisions	Officers	MED	Total
1	Works one-on-one with subordinates	4.1	3.8	3.8	3.5	3.8
2	Deals with ineffective performance	3.5	3.2	2.5	3.7	3.2
3	Regular feedback, acknowledges success	4.1	4.1	3.8	4	4
4	Coaches and offers opportunities for growth	4	2.7	2.6	3.9	3.3
5	Secures mediation if needed	4.3	3.5	3.8	3.7	3.8
6	Balances the needs of people and organization	4.1	3	2.6	3.7	3.3
7	Monitors/addresses workplace wellbeing	4.1	3.6	3.3	4.1	3.8
8	Develops/supports career plans and learning	4.2	3.2	2.5	3.8	3.4
9	Develops HR strategy for office	3.3	3.4	2.1	3.7	3.1
10	Manages workload	4	3.5	2.5	3.2	3.3
11	Implements HR practices and accountabilities	3.5	3.5	2.1	3.7	3.2

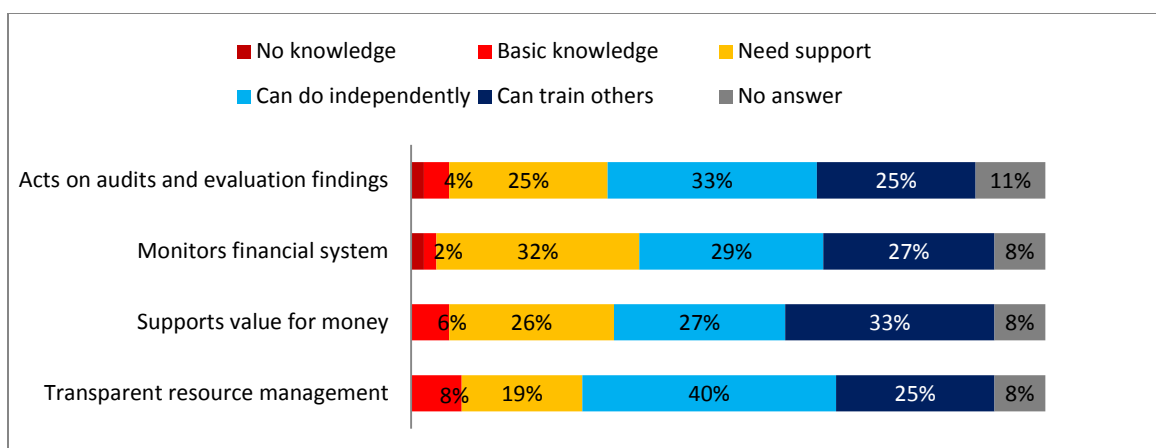
About 38% of the respondents indicated that they lacked or had only basic knowledge in developing a HR strategy for the office/department and about 27% said their understanding and knowledge in implementing the HR practices was limited. A significant percentage (31%) of those interviewed suggested that their knowledge was limited and would need support in offering coaching and support for growth to their staff members. Challenges in this important human resource component are also reinforced by indications of 28% of those surveyed that they would need further support in developing and supporting career plans. While the self-reported knowledge and abilities are positive in all HR practice, about 29% noted that they need support in dealing with ineffective performance. The cross-tabulated responses point out that the level of knowledge and satisfaction with the workplace and human resource practices is correlated with the level or position - heads of departments consistently portray a brighter picture compared to their peers at the lower end of workforce.



### 3.2.4. Financial planning and management

The training needs assessment sought to establish the availability of **financial management skills** among respondents. Regarding the skills to allocate and manage resources transparently all respondents with varying degree of urgency indicated that they need further support - with education officers clearly highlighting that they had only basic knowledge of the practice. While on the one hand the Heads of departments noted that they act on audit and evaluation findings, education officers on the other hand indicated the contrary and pointed out that this is an area where they had no knowledge and needed the greatest level of support. Roughly 25-30% of those surveyed said they lacked the requisite skills in monitoring the financial system, supporting value for money and improving operational efficiency and improving the follow-up procedures to address auditors' findings and recommendations. Another 27% said they had little or no knowledge on ways to improve financial management transparency and accountability. MED Directors say that they need support in performing the function of financial management.

	FINANCIAL MANAGEMENT	Department	Divisions	Officer	MED	Total
1	Manages resources transparently	3.8	3.5	2.8	3.7	3.4
2	Supports operational efficiency and value for money	3.8	3.4	2.8	3.9	3.5
3	Monitors system for financial management/audit	3.8	3.4	2	3.9	3.3
4	Acts on audits and evaluation findings	4	3.5	1.1	3.8	3.1



### 3.2.5. Stakeholders engagement and communication

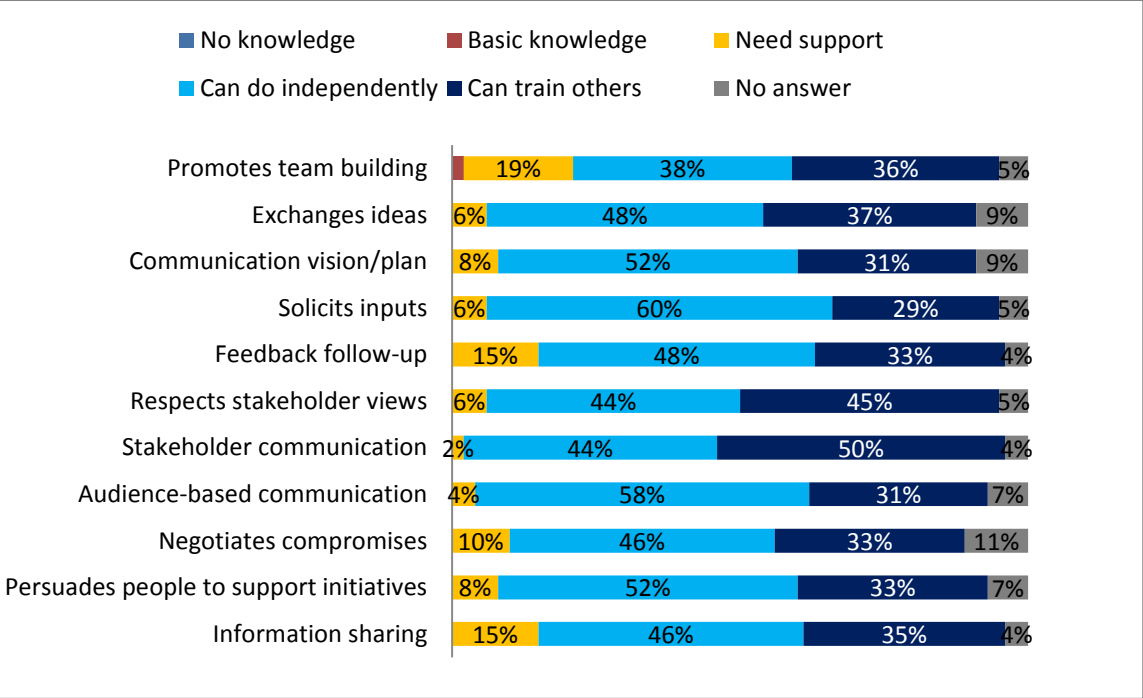
There is **lack of skills and knowledge practices in implementing a structured approach to stakeholder engagement and communication** - both internal and external. Appropriate stakeholder engagement and communication approaches should be based on a prior Stakeholder Analysis to determine their needs and priorities vis-a-vis Ministry strategies and policies. The Analysis should take a more comprehensive scope to include both internal stakeholders (staff, agencies) and external (development partners, teachers' unions, parents' councils, municipal education directorates and academia). Stakeholder analysis should precede the policy planning and formulation process.

	STAKEHOLDER ENGAGEMENT/COMM.	Department	Divisions	Officer	MED	Total
1	Shares information	3.6	4	4.5	4	4
2	Persuades people to support initiatives	3.8	3.8	4.3	4	4
3	Negotiates compromises	3.7	3.5	4.3	3.8	3.8
4	Audience-based communication	3.6	3.9	4.3	4.1	4
5	Stakeholder communication	3.8	4.4	4.5	4.3	4.2
6	Respects stakeholder views	3.7	4.3	4.3	4.2	4.1
7	Follows through on feedback	3.8	4	4	4	4
8	Solicits inputs	3.6	4.1	4.6	4	4.1
9	Communicates vision and work plan	3.8	3.9	3.6	3.9	3.8
10	Exchanges ideas	3.7	3.8	4	4.1	4
11	Promotes team building	3.8	3.8	4.6	3.8	4

Internal stakeholders consulted as part of the survey indicated some challenges with information sharing and follow-up measures after feedback. About 15% of those interviewed said that they need support in performing the function of structured information sharing. A similar percentage noted that they needed support in translating stakeholder feedback into follow-up measures. Generally, Heads of Departments and Heads of

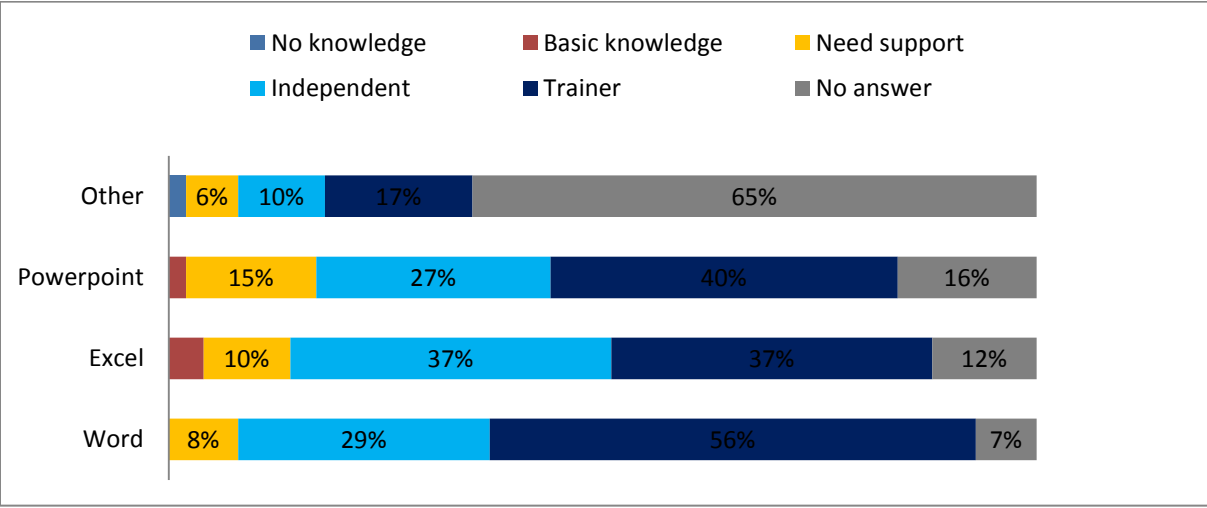


Divisions indicated that they need support in Stakeholder Engagement and Communication compared to officers and MED Directors that said they were able to do it independently.



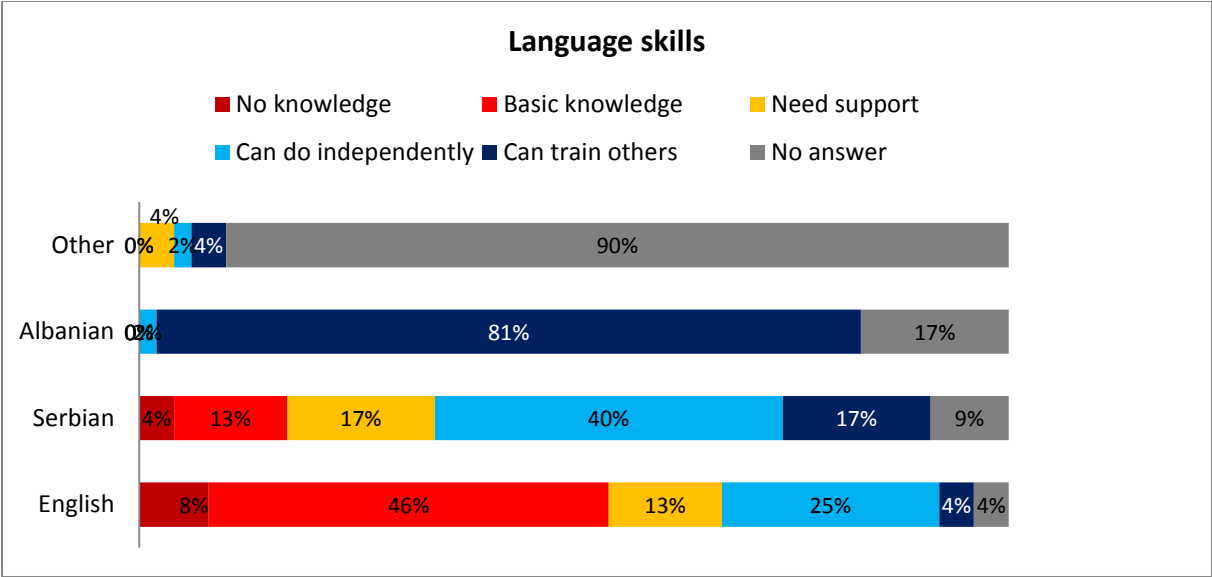
### 3.2.6. ICT and other soft skills

The training needs assessment **found a relative gap of skills and knowledge practices in computer, language and other soft skills**. Those surveyed noted an overall satisfactory level of skills on operating basic Microsoft applications but few were able to describe other programs. On average 12% of respondents indicated that they had basic knowledge or needed further support in operating Microsoft Word, Excel and PowerPoint.

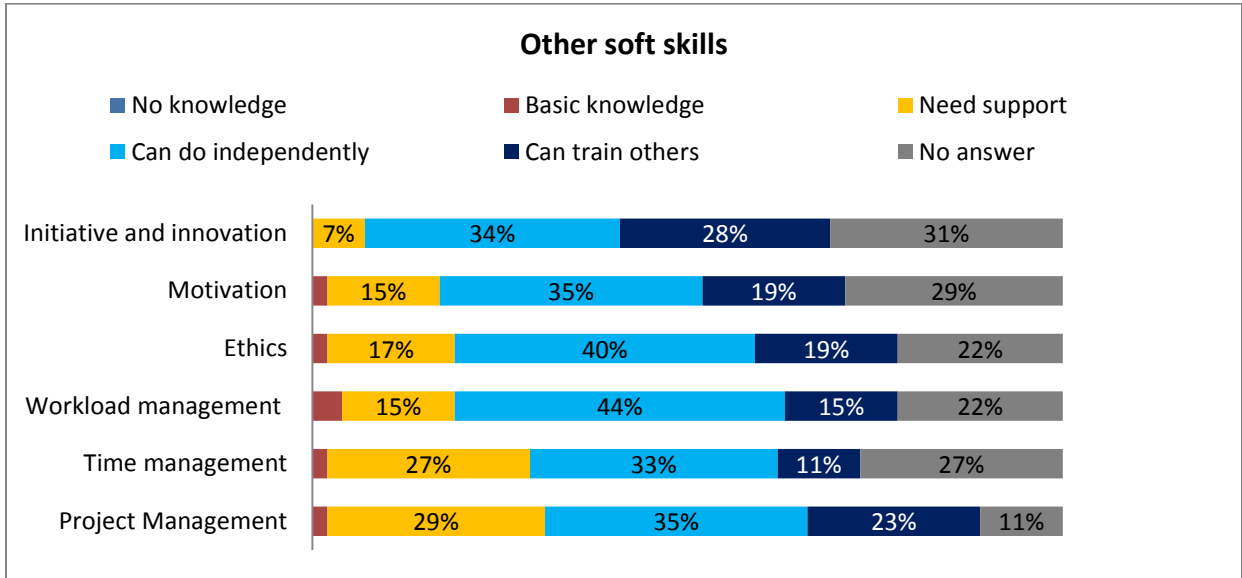


Respondents said that they faced difficulties with foreign languages. About 54% of those surveyed said they had no or basic knowledge of English language and another 13% said they needed further training support.

Majority of respondents indicated that they were independent/advanced users of Serbian language but some 17% said they did not have any or only basic knowledge. Only 5-6% were able to say that they knew another foreign language.



The survey also sought to establish the availability and assessment of other soft skills. About 30% said they would need support in project and time management and some 15% said the same about workload management. Of those surveyed, nearly 20% noted that there were ethical challenges among staff members. Staff motivation was highlighted as a critical issue by a significant percentage and some 15% said they need further support on that. There were no major self-assessment issues with initiative and innovation, though a small percentage said they need further support.



### 3.3. CONCLUSIONS AS TO THE POTENTIAL PROJECT INTERVENTIONS VIS-À-VIS IDENTIFIED GAPS

There are differences between respondents' prioritization of training needs and those that an outsider would expect them. Clearly, any capacity assessment needs to strike a healthy balance between the demand and supply driven approaches in training provision. While the respondents indicated a high level of knowledge and abilities in performing all functions of management at MEST and MED, more detailed discussions as well as the observations of the institutional processes indicates that there are differences in expectations that can only be corrected through the management and functional review. In addition to formal training, human resource development should be coupled with parallel strategies and efforts to clarify the organizational structure, properly defined roles and responsibilities, clear jobs descriptions and transparent and merit-based performance.

Based on the Capnam Framework (UNESCO) MEST should adjust its functions and upgrade skills in performing the following:

- **Analyzing the existing situation** – the planning work needs to be based on a thorough analysis of the existing situation based on disaggregated data by gender, region, ethnic group. This indicates that there should be greater emphasis from the side of MEST on improving skills in analyzing EMIS data, integrating statistics from other sources and analyzing progress and setbacks from a sector-wide perspective.
- **Formulating policies, strategies and programs** – this involves translating the MEST mandate into strategies and policies that are based on analysis of the existing situation and informed by resources constraints. This indicates that MEST officers responsible for this function are expected to be informed by evidence, link their planning to Government strategies and expenditure framework.
- **Engaging and communicating with stakeholders** – capacity development interventions should attempt to enhance effectiveness in policy planning through stakeholder engagement. The officers responsible for this function should be trained in techniques of stakeholder engagement both within the MEST but also wider in the sector. This function should also have increased skills and abilities in coordinating with donors and potentially engaging non-governmental and private sector in advancing strategic aims.
- **Determining the budgetary process** – Officers responsible for this function should have enhanced capacities in converting strategic objectives and programs into budgetary process, identifying both the sources of funds and modalities for acquiring and disbursing them by various levels of authorities.
- **Implementing the programs** - A critical function for the planning is to identify the implementation process of policies and programs, together with targets and responsibilities including financial management function
- **Monitoring and Evaluation** - This function needs to be introduced into the organizational structure or trained to ensure that the program is being effective in meeting its objectives and to introduce course corrections if they are off target
- **Other functions/skills** - the function of human resource management should be trained in modern public administration human resource management and development including linking strategic and annual plans with individual performance and crafting plans for ongoing formal and non-formal training to address the gaps in skills and competences. Among other skills, staff should be consistently offered opportunities for enhancing their language and computer skills.

Based on both self-assessment survey and the interviews with MEST staff, as well as analysis on implementation of different business processes related to the outputs of the project, the following were identified as training needs for MEST staff and MEDs directors:

- In the **strategic planning domain**, the project should combine a dual approach of training and coaching in the workplace to enhance staff skills in analyzing the current situation, engaging stakeholders, producing policy options, integrating education planning with sector-wide and governmental work plans, integrated strategic objectives and financial projections, use education data in planning and management. This should be delivered both to improve the existing work processes but also upgrade staff skills ahead of the KESP review and planning.

These training needs can be addressed with capacity building activities in the following topics:

- Education Planning Approaches and policy options,
- Evidenced based planning,
- Financial planning,
- Monitoring and evaluation and
- Computer simulated planning and scenario building.

The combined training/coaching should enable officers to understand projection techniques, to undertake projections using simulation models, integrating KESP with MTEF, be aware of the various factors influencing such projections and build quantitative scenarios. The project could also consider enhancing computer-simulated planning by training officers in Education Simulation Models (EPSSim, AnPro.etc).

- The **capacity gaps in process management** and interventions should be aimed at supporting MEST to clarify the distribution of roles and responsibilities of actors involved, organization of education system, coordination and communication between different actors and importantly monitoring and evaluation for management and reporting purposes. The project can address process management gaps by implementing TalkOn training modules on Education System Management, Process Mapping and SOP, Monitoring and Evaluation and Communication.
- The **human resource management planning** functions would require capacity development interventions in (a) proper staff planning, (b) performance assessment, (c) adequate organizational rules and structures – coherent and up-to-date and well enforced regulations and procedures. The **HR Division would need more skills and abilities on how to assess, plan and prepare the organizational human resource needs**. The performance assessment training and implementation would enable MEST to capture individually focused human resource development and skills assessment and link it to organizationally focused efforts to clarify the organizational structure, define roles and responsibilities and link overall performance to strategic planning.

Through training and coaching, the project should support MEST in performance assessment training, recruitment training (adopt TalkON), support and train HR Division in conducting organizational development analysis, train in performing needs assessment and HRD plans, train in implementing the

UNESCO Capnam Framework for capacity assessment, train senior managers and HR Office in interpersonal and gender training and implement the TalkON training module on Leadership. The Interpersonal and gender training would be needed to address the dismal representation of women and disadvantaged groups in management structure, techniques for addressing the different needs of men and women and ways to address gender constraints in career management.

- Existing individual **capacity gaps in financial management and internal control** could be addressed through a combined intervention of training and coaching in designing and implementing education budgets for sub-programs (universities), integrated and sector-wide financial planning (linking MTEF and KESP), training in financial reporting guidelines, training on project assessment and procurement guidelines, training on future development of internal accounting and risk assessment.
- Capacity gaps **in stakeholder engagement and communication** could be tackled by providing technical assistance and training to the MEST Communication Division. The former needs to be empowered not only to perform simple information sharing but also strategic communication, internal and external communication, stakeholder analysis and engagement. While webpage is an important communication vehicle as is TV, the capacity gaps expressed by the Communication Division (Website training) could be augmented by training on contemporary communication techniques for public institutions (e.g. social media, audience-based communication etc.). The project should implement the TalkON training module on Communication and develop another module to train MEST relevant staff in donor coordination approaches, writing and monitoring of proposals/project fiches for EU and other multilateral and bilateral funding modalities.
- **The EMIS staff needs more training in data analysis, interpretation and visualization. So do the policy staff in line departments of the MEST. At present there is no established process of review to assess whether EMIS meets the needs of users within the Ministry, within the school system, within the Government and outside the government.** Currently the focus of EMIS staff has been mostly trying to make the system functioning and getting the schools to fill the data. Another stage would be analyzing and interpreting these data in a way that is comprehensible to other users. Data visualization techniques that would make the data “talk by itself” still need to be deployed. Implementing the “Annual MEST Education Report” could serve as a good start. However, the data visualization also needs to be deployed in preparing the Concept Documents.

#	Gaps	Intervention method / tool			
		TalkON	Formal training	Coaching	Peer learning
1. STRATEGIC PLANING					
1.1	Education Planning	✓	✓	✓	
1.2	Evidenced based planning		✓	✓	✓
1.3	Financial Planning		✓	✓	✓
1.4	MED Integrated Planning	✓	✓	✓	✓
1.5	Monitoring and Evaluation		✓	✓	
1.6	Computer Simulated Planning (EPSSim/ANpro)		✓	✓	
2. PROCESS MANAGEMENT					
2.1	Education System Management	✓			
2.2	Process Mapping and SOP	✓			
2.3	Monitoring and Evaluation	✓		✓	
2.4	Communication	✓			
2.5	Project Management		✓		
3. HUMAN RESOURCE MANAGEMENT					
3.1	Performance Assessment		✓	✓	✓
3.2	Recruitment	✓			
3.3	Management/Functional review		✓	✓	
3.4	Capacity Assessment Framework (CAPNAM)		✓	✓	
3.5	Leadership	✓			
3.6	Interpersonal/Gender Skills		✓	✓	
4. FINANCIAL MANAGEMENT					
4.1	Education budgets for universities		✓	✓	
4.2	Integrated and SWP Financial Planning		✓	✓	
4.3	Expenditure Reporting		✓	✓	
4.4	Auditing and Risk Assessment		✓	✓	
4.5	Project Assessment/Procurement		✓	✓	
4.6	Future internal accounting		✓	✓	
5. STAKEHOLDER ENGAGEMENT					
5.1	Stakeholder Analysis/ Engagement		✓	✓	
5.2	Communication	✓			
5.3	Donor Coordination		✓	✓	
5.4	Writing proposals/fiches		✓	✓	✓
6. EMIS					
6.1	Processing and Analyzing EMIS data		✓	✓	✓
6.2	Visualizing and communicating EMIS data		✓	✓	
6.3	EMIS DQAF data quality assessment framework		✓	✓	

## Annex: 1 - Assessment Form for Senior Management of MEST and MEDs

The TA overall objective is to strengthen the management capacity of Kosovo's education sector, particularly at the level senior management of the MEST and MEDs, and to ensure the transfer of modern and state-of-art management competencies and skills into the daily work routines thus ensuring efficient functioning of its administrations and improved decision-making processes and leading to improved quality of education outcomes. In line with this objective, as part of the diagnostics, the project team kindly asks you to complete the below assessment form split in two parts:

Name and Surname of the Director/Head<sup>17</sup>: \_\_\_\_\_

Department/Division: \_\_\_\_\_

Months working in the Department/ Division: \_\_\_\_\_

Field of Studies/Expertise: \_\_\_\_\_

### 1. How would you assess the level of the below competences for yourself?

Competences <sup>18</sup>	1 Has no knowledge	2 Has basic knowledge	3 Can do with support	4 Has knowledge and can do independently	5 Good in theory and practice and can train others	Comments
<b>1. Processes Management</b>						
Designs Department/ Division work plans based on Ministry's strategic objectives						
Guides Department/ Division projects and resources to avoid obstacles						
Delegates appropriately to subordinates						
Manages resources to maximize output						
Sets realistic timelines and clear accountabilities for heads of Department/ Divisions						
Provides structure and						

<sup>17</sup> Please note that the similar assessment process will be conducted at the end of the project, therefore we need to keep track on the competences improvement, that's why we need your names and positions. This assessment is used only for this purpose and cannot be used for other different purposes.

<sup>18</sup> Competencies are individual characteristics, including **knowledge, skills, abilities, self-image, traits, mindsets, feelings, and ways of thinking**, which, when used with the appropriate roles, achieve a desired result

momentum for Department/ Division work activities						
Identifies Department/ Division limits and resource requirements for workload						
Manages the Department/ Division's workload through prudent resource planning and prioritizing						
Shifts priorities and adapts Department/ Division work plans, as required						
Heeds early warning signals and advises the Secretary and others, as needed						
Follows through on the Department/ Division's business plan from planning, implementing, monitoring, and evaluating to reporting						
Integrates state legislation, regulations, and policies into Department/ Division practices						
Manages own and staff's work- life balance						
Responds decisively and quickly to emerging opportunities or risks						
Maintains composure in adverse situations to alleviate pressure and maintain momentum						
<b>2. People Management</b>						
Works one-on-one with subordinates						
Deals with ineffective performance						
Provides regular feedback, acknowledges success and the need for improvement						
Coaches, challenges, and provides opportunities for growth						
Secures mediation, if required						
Balances the needs of employees and the organization						
Monitors and addresses						



workplace well-being						
Develops and supports career plans and learning opportunities						
Develops an HR strategy for Department/ Division succession planning						
Manages workload						
Implements rigorous HR practices and fulfils obligations of HRM accountabilities						
<b>3. Financial Management — Budgets and Assets</b>						
Allocates and manages Department/ Division resources transparently						
Implements strategies to achieve operational efficiencies and value for money						
Applies and monitors rigorous systems for Financial Information Management, internal audit, and evaluation						
Fulfils obligations of accountabilities for Department/ Division finance and assets management						
Acts on audit, evaluation, and other objective Department/ Division performance information						
<b>4. ETHICS — Serving through integrity and respect</b>						
Demonstrates Values and Ethics, including the Code, in personal behaviour						
Integrates Values and Ethics, including the Code, into department and Department/ Division practices						
Reflects a commitment to citizens and clients in own and Department/ Division activities						
Fosters a climate of transparency, trust, and respect within the Department/ Division						

and in partnerships						
Incorporates equitable practices into HR planning						
Creates opportunities for and encourages diversity in the Department/ Division						
Builds and promotes a safe and healthy, respectful Department/ Division, free of harassment and discrimination						
Practices transparency and fairness in all transactions, including staffing, contracting, and day-to-day activities						
<b>5. STRATEGIC THINKING — Innovating through Analysis and Ideas</b>						
Analysis						
Frames Department/ Division direction with a thorough understanding of the Ministry's priorities						
Seeks clarification and direction from the PS, as required						
Integrates information from multiple sources to form a comprehensive perspective						
Identifies interdependencies in cross-functional projects						
Analyzes setbacks and seeks honest feedback to learn from mistakes						
Ideas						
Translates vision and policy into concrete work activities						
Develops Department/ Division strategies, based on the departmental vision and the DG's direction						
Designs initiatives to enhance operational efficiency						
Encourages and incorporates diverse initiatives and perspectives						
Redesigns the Department/ Division's work activities to						

meet changing departmental needs						
Makes effective recommendations to the DG						
Teaches and learns from others						
<b>6. ENGAGEMENT and Communication—Mobilizing people, organizations, partners</b>						
Shares information vertically and horizontally Promotes collaboration among heads and staff						
Uses persuasion to gain support for initiatives						
Negotiates compromises						
Adapts communications to suit audience and forum						
Communicates regularly and openly with stakeholders						
Demonstrates understanding of and respect for stakeholders' views						
Follows through on commitments						
Solicits input from and listens to staff, partners, and stakeholders						
Communicates vision and Department/ Division plans with clarity and commitment						
Establishes regular and comprehensive exchanges of ideas						
Promotes and funds team building						
<b>7. Languages</b>	No knoweledge	Beginner	Indermediate	Good	Very good	
English						
Serbian						

Other						
<b>8. Computer literacy</b>	No knoweledge	Beginner	Indermediate	Good	Very good	
Word						
Excel						
Power point						
Other						

2. How would you asses the level of the below competences for your dependent staff?

Competences and skills	1 Has no knoweledge	2 Has basic knoweledge	3 Can do with support	4 Has knoweled ge and can do independ ently	5 Good in theory and practic e and can train others	Comments
<b>1. Policy development</b>						
<b>2. Monitoring and Evaluation<sup>19</sup></b>						
<b>3. Technical required skills /professionals skills as per the position requirements</b>						
<b>4. Project management</b>						
<b>5. Drafting/ reporting</b>						
<b>6. Communication</b>						
<b>7. Coordination with stakeholders</b>						
<b>8. Legal Drafting (if required)</b>						
<b>9. Self-initiative, and innovation</b>						
<b>10. Motivation and work engagement</b>						

<sup>19</sup> The situation is assessed where the official monitors the implementation of policies from the department itself, other departments in MEST, Agencies or MDA's.

<b>11. Workload management and effectiveness</b>						
<b>12. Planning and work organizing, setting priorities</b>						
<b>13. Time-Management</b>						
<b>14. Ethics</b>						
	No knoweledge	Beginner	Indermediate	Good	Very good	
<b>15. Languages</b> - English - Serbian - Albanian - Other						
	No knoweledge	Beginner	Indermediate	Good	Very good	
<b>16. Computer literacy</b> - Word - Excel - other						
<b>17. Other technical skills</b>						

## Annex 2: List of interviews for the Gap Report On the organizational structure and the HR Systems/ HR current practices in MEST

No.	Name & Surname	Position
1	Xhavit Dakaj	General Secretary, MEST
2	Naxhije Shala- Ajvazi	Head of Human Resources Division
3	Anita Kaçaniku	Human Resources Officer
4	Ardiana Rexhepi	Human Resources Officer
5	Tefik Mahmuti	Director, DCSA, MPA
6	Rrahman Zahiti	Head of Division, DCSA, MPA
7	Hatmane Lufi	Head of Division, DCSA, MPA
8	Bekim Hamiti	Head of Division, DCSA, MPA
9	Fatos Mustafa	Director, DMRAP, MPA
10	Alush Istogu	Director of the Department for Pre- University Education Policies (6 divisions)
11	Agim Bërdyna	Director of the Department for the Development of the Pre-University education (3 divisions)
12	Drita Kadriu	Director of the Department for Higher Education (3 divisions)
13	Murteza Osdautaj	Director of the Department for Science and Technology (3 divisions)
14	Fadile Dyla	Director of the Department for Infrastructure and school Buildings (2 divisions)
15	Ferit Idrizi	Director of the Department for the European Integration and Policy Coordination
16	Isni Kryeziu	Director of the Legal Department
17	Dëfrim Gashi	Director of the Department for Education Inspectorate of Republic of Kosovo
18	Enesa Kadic	Head of Division for Communities Education
19	Lulavere Behluli	Head of Division for Special Needs Education
20	Osman Shahini	Head of Division for Private Pre-University Education
21	Rexhep Kastrati	Head of Division for Curricula and School Textbooks
22	Mustafë Kadriu	Head of Division for Standards, Monitoring and Evaluation
23	Igballe Cakaj	Head of Division for Professional Development of Teachers
24	Bekim Samadraxha	Head of Division for the Development and Quality in Higher Education
25	Hanëmsa Latifi	Division for European Integration
26	Xhemajl Buzuku	Division for Procurement
27	Vebi Ismajli	Division for Internal Audit
28	Besa Bytyqi	Division for Public Communication
29	Fehmi Zylfiu	Division for Budget and Finance
30	Skënder Vitia	Division for IT and Logistic Services
31	Azem Azemi	Division of policy coordination and statistics
32	Arberie Nagavci	Pristina MED Director

### Annex 3: List of staff who participated in the baseline gaps skill assessment from MEST and MEDs

No.	Name and Surname	Position
<b>MEST Departments (7)</b>		
1	Alush Istogu	Director of the Department for Pre- University Education Policies (6 divisions)
2	Agim Bërdyna	Director of the Department for the Development of the Pre-University education (3 divisions)
3	Murteza Osdautaj	Director of the Department for Science and Technology (3 divisions)
4	Fadile Dyla	Director of the Department for Infrastructure and school Buildings (2 divisions)
5	Ferit Idrizi	Director of the Department for the European Integration and Policy Coordination (2 divisions)
6	Isni Kryeziu	Director of the Legal Department
7	Dëfrim Gashi	Director of the Dep. for Education Inspectorate of Republic of Kosovo (7 municipal offices)
<b>MEST Divisions (19)</b>		
8	Nazan Safqi	Head of Division for General Education
9	Lulavere Behluli	Head of Division for Special Needs Education
10	Osman Shahini	Head of Division for Private Pre-University Education
11	Rexhep Kastrati	Head of Division for Curricula and School Textbooks
12	Mustafë Kadriu	Head of Division for Standards, Monitoring and Evaluation
13	Bekim Samadraxha	Head of Division for the Develop. and Quality in Higher Education
14	Avni Rexha	Head of Division for Recognition and Equivalence
15	Ukë Osmanaj	Head of Division for Science
16	Ardiana Shabaj	Head of Division for Technology
17	Isuf Gashi	Head Division for Planning and Standards for School Space
18	Besim Sejfiqaj	Head of Division for PM and School Buildings
19	Xhemajl Buzuku	Head of Division for Procurement
20	Besa Bytyqi	Head of Division for Public Communication
21	Vebi Ismajli	Head of Division for Internal Audit
22	Fehmi Zylfiu	Head of Division for Budget and Finance
23	Naxhije Shala- Ajvazi	Head of Division for HR
24	Skënder Vitia	Head of Division for IT and Logistic Services
25	Azem Azemi	Head of Division of policy coordination and statistics
26	Hanëmshe Latifi	Head of Division for European Integration
<b>MEST other staff (5)</b>		
27	Enver Mekolli	Head of EMIS
28	Shqipe Bruqi	Statistics Officer
29	Afërdita Kryeziu	Planning and Analysis Officer
30	Esat Mazreku	Donor Coordination Officer
31	Veton Alihajdari	VET professional/ Kosovo practice Center
<b>MEDs (21)</b>		
32	Agim Shkodra	MED Director / Kamenice
33	Hajri Ramadani	MED Director / Dragash
34	Besim Avdimetaj	MED Director / Peje
35	Hajdin Morina	MED Director / Kline
36	Blerim Thaqi	MED Director / Malisheve
37	Enver Kamishi	MED Director / Kaçanik
38	Nexhat Qoqaj	MED Director / Prizren
39	Sanije Hysaj	MED Director / Shtime
40	Arbërie Nagavci	MED Director / Prishtine
41	Ajmane Berani	MED Director / Mitrovice
42	Irfan Qajani	MED Director / Hani i Elezit
43	Musa Terbunja	MED Director / Vushtri

44	Sadik Tahiraj	MED Director / Drenas
45	Rasim Hasani	MED Director / Lipjan
46	Jashar Lushtaku	MED Director / Skenderaj
47	Behar Rama	MED Director / Rahovec
48	Diana Qarkagjia	MED Director / Gjakove
49	Islam Shabani	MED Director / Fushe Kosove
50	Nexhmi Rudari	MED Director / Podujeve
51	Nazmi Musa	MED Director / Gjilan
52	Flamur Uka	MED Director / Novo Berdo