International Experience with Civil Service Censuses and Civil Service Databases

by

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Responsibilities for errors, omissions and misrepresentations remain ours alone.

Neil McCallum
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INTRODUCTION

In April 2001, the World Bank's Poverty Reduction and Economic Management (PREM) Public Sector Management Group asked the International Records Management Trust (the Trust) to conduct a review of international experience with civil service censuses and civil service databases. The outcome of this review is intended to serve as an input to the World Bank's own paper on the subject. The specific terms of reference for this assignment were to:

- conduct an extensive survey of international experience of civil service censuses and databases, within and outside the World Bank
- develop, as appropriate, a framework or typology of different types of census
- carry out at least six detailed case studies of civil service censuses/databases
- synthesise and draw lessons from this body of international experience, including identifying some essential ingredients for success.

This assignment has been carried out by Neil McCallum, Director, and Vicky Tyler, Researcher during the period 4 April to 15 May 2001.

METHODOLOGY

The data gathering exercise for the survey focused on face-to-face and telephone interviews with international donor staff, project managers, international and local consultants and public servants. Interviews were not always possible, owing to telecommunication difficulties and different time zones, and a questionnaire was designed to elicit the required information by e-mail or fax. Questions were grouped under broad headings, as indicated in the survey matrix. (The questionnaire form is at Annex 3). The bulk experience is in the Africa Region. The geographical distribution by region of the exercises considered is illustrated in Figure 1.

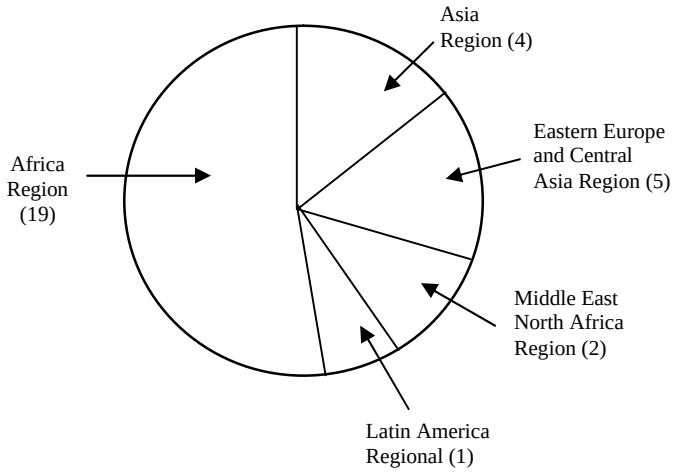


Figure 1: Regional Distribution of Countries about which Civil Service Census information has been obtained.

(Note: A number of countries considered have embarked upon several such exercises.)

As part of the analysis, eight case studies have been prepared exploring approaches taken in various countries. These have been selected to reflect the geographical distribution of the exercises captured in the survey matrix and to explore the range of objectives and methodologies identified in the typology. In preparing the case studies, we have drawn on the direct knowledge and experience built up within the Trust through a decade of fieldwork and research to supplement the material collected. In order to present a range of perspectives, we have also commissioned a cross section of stakeholders to draft some of the case studies, including consultants directly involved with the exercises described and public servants with first hand experience of in country implementation.[1] The coverage of the case studies is described in Figure 2.

Country	Primary Objective	Methodology adopted	Drafted by
Ghana			
Pre 1991	Cost Cutting	Headcounts/ Questionnaires	Ghanaian public servant
Post 1991	Source Data	Questionnaires	The Trust, drawing on and updating earlier field work
Nigeria	Cost cutting	Headcounts	The Trust, drawing on material from a range of sources
Sierra Leone	Cost Cutting	Headcounts	Consultant directly involved
Tanzania	Cost Cutting Source Data	Headcounts Questionnaires	Tanzanian public servant
Zimbabwe	Source Data	Data Reconciliation	The Trust, drawing on and updating earlier field work
India (Orrisa)	Source Data	Questionnaires	Consultant directly involved
Nepal	Baselining	Questionnaires	The Trust, drawing on material from a range of sources
Kazakhstan	Baselining	Questionnaires	The Trust, drawing on material from a range of sources

Figure 2: The Case Studies

[1] Editorial responsibility and accountability for content remains with the Trust.

Limitations and Qualifications

It has been difficult, given the short time frame for the project, to obtain the range of English language documents needed to provide complete and fully verified information. We have had to make a number of assumptions about the quality and reliability of the information received. For example, the information on Cameroon was extracted from a newspaper article reproduced on the web. Despite having a key contact in Cameroon, we have been unable to get through by telephone or fax to substantiate the data. Various government and project web sites were examined but, with the exception of Sierra Leone and Cameroon, few yielded detailed information. A number of public servants that agreed to participate in the exercise had to seek official permission before making information available. In several cases permission was not granted in time for the data to be included in the report. Finally, some contacts asked that their contributions should remain unattributed or that they should not be presented in a specific context.

BACKGROUND

Since the early eighties, attempts to count, control, scope and scale the public services of developing countries have been a regular part of public sector reform, in particular in programmes funded by the World Bank and the UK Department for International Development. These initiatives (variously described as censuses, surveys, headcounts, staff audits, payroll verification or reconciliation exercises) have been conducted in a range of ways, in widely varying contexts, to meet a number of different objectives. This report is believed to be the first extensive review of approaches and their impact.

In the 1980s, a number of developing countries adopted Structural Adjustment Programmes (SAPs). These programmes almost invariably involved major cost cutting initiatives in the public service. A census, to clarify how many people actually worked in the public service and to identify who, among those on the government payroll, should actually be receiving pay, was widely regarded as 'paramount for all subsequent reforms'.[1]

By the early 1990s, the emerging paradigm was a more skilled, ever smaller public service with a reduced remit, making fewer interventions into the economy. This vision called for enhanced public sector human resource management, which, in turn, required information about public service employees in forms capable of being manipulated, aggregated and analysed for planning purposes. In this period, with ever-greater emphasis being placed on the need for the reform process to be 'home-grown and locally owned', capacity building and performance improvement replaced cost cutting and control as the key aspirations.

As the decade wore on, the concept of reducing state bureaucracy to the minimum level needed to discharge fundamental responsibilities gave way to a new view of the state as an enabler of growth and development. In this changing environment, ministries charged with driving public sector reform programmes sought statistical information to enable them to analyse, for example age, skills and gender mixes. Frequently, they found that the primary source of such data, government's paper-based personnel files, were disorganised, incomplete and inaccessible. In these circumstances, there seemed little practical alternative to conducting further censuses. Computerising the data that was gathered seemed to offer the solution to a legacy of information problems.

During this decade, a number of former Soviet republics embarked upon the transition to independence and democracy. In such nations, questions such as 'What is the public service?' and 'Who is a public servant?' took on an almost cultural significance, contributing to the definition of the nature of the emerging state and its responsibilities to and relationship with its citizens. In such states, censuses have often been deployed to inform this ongoing debate.

Writing in 1995 Nunberg and Nellis observed that:

> *In general, recent experience with census design and implementation suggests that such mechanisms are important first steps to getting the reform process moving, that their design should be kept simple but strategic in the sense that they should be conceived as part of the establishment of an ongoing system of*

[1] Civil Service Reform and the World Bank, World Bank Discussion Paper No. 11, B Nunberg and J Nellis, 1995.

controls, and that their successful conceptualization and implementation generally requires external technical assistance.[2]

The findings of this study broadly support this view. The importance of the census as a significant step toward developing a sustainable system of public sector controls emerges clearly, and certainly there is an ongoing requirement for external technical expertise. However, there is a range of lessons to be learned about the approach to census taking. In broad terms, this includes much greater clarity about what a census can and cannot provide; greater attention to the methodology for information gathering; a clear strategy for maintaining ongoing control of current and accurate information on the size and composition of the civil service; and a recognition of the need for local ownership, including accountability by managers for the completeness and accuracy of the information provided.

TYPOLOGY

By Objectives

Analyses of civil service reform typically recognise two related but distinct approaches. The first focuses on emergency measures, usually aimed at bringing the cost and size of the civil service under control. The second approach concentrates more on longer-term capacity building and on sustainable change in terms of culture, role and ethics. The fact that civil service censuses can be utilised for fundamentally different objectives can lead to confusion. However, these different objectives provide a useful way of categorising the range of approaches adopted.

In this analysis, we categorise these approaches as being primarily to:

- reduce the number of ghost workers and the cost of the payroll; or
- obtain or verify source data with which to populate a human resource management database.

Examples of exercises where cost cutting is the primary objective include those in Cameroon, Chad, Nigeria and Lebanon. Examples of exercises focusing on the acquisition of source data are those in Sierra Leone, Nepal, Romania and Guinea. A number of countries, including Ghana, The Gambia, Tanzania, Uganda and Cambodia, have conducted exercises to exclude ghosts, and have then, using different approaches, embarked upon exercises to obtain data for Human Resource (HR) databases. This change of emphasis often mirrors the transition from (often SAP-driven) cost cutting to more locally owned strategies for capacity building in the reform programme adopted by the country concerned. This progression is particularly well illustrated in the Ghana case study (pages 55-67).

In recent years, a third category has emerged. This is generated by the need to establish a baseline profile for the civil service in transitional nations as a basis for planning and budgeting. Typically, ghost workers are not perceived to be a significant issue in such economies and the focus is far more on defining the scope and scale of the civil service.

[2] Civil Service Reform and the World Bank, World Bank Discussion Paper No. 11, B Nunberg and J Nellis, 1995.

Examples include Georgia, Kosovo and Kazakhstan. Although the information sought through baselining exercises can be (as in Kazakhstan – see pages 120-126) important in informing the budgetary process, cutting costs is not the main aim. These exercises are far more about defining the new state's public service. Whilst data about individual civil servants will be gathered the objective is not to enable the existing public service to be managed more effectively but to inform decisions about what the future public service should be.

Put simply, the distinctions of objectives are:

? *cost cutting* asks who should be on the public sector payroll

? *obtaining source data* asks what are the characteristics of public servants

? *baselining* asks what is the nature of the public service.

Figure 3 categorises the countries studied according to these three objectives. Bold type indicates the country is the subject of a case study.

Cost Cutting	Source Data for HR Database	Baselining
Cameroon	**Ghana**	**Nepal**
Ghana	Gambia	Georgia
Gambia	Rwanda	Pakistan
Rwanda	**Sierra Leone**	Kosovo
Tanzania	Uganda	**Kazakhstan**
Uganda	Romania	
Zambia	Lithuania	
Chad	Guinea	
Nigeria	Niger	
Senegal	Cambodia	
Cambodia	**India (Orissa)**	
Lebanon	**Zimbabwe**	
Yemen	**Tanzania**	

Figure 3

By Methodology

It is also possible to categorise census exercises by the methodology adopted. There appear to be three main approaches.

Physical Headcount

The main focus for a headcount, or staff audit, is to determine who is on actual strength and whether names on a payroll belong to genuine employees. A physical headcount typically involves trained teams travelling to various locations in the census area, where individual

employees are required to present themselves, often with evidence of identity and sometimes with photocopies of documentation (eg letters of appointment, birth records) to be checked off, usually against the payroll. In some instances (Sierra Leone, Nigeria, Cambodia) photographs or fingerprints are taken. As explored in the Nigeria case study (Pages 72-73) headcounts are not designed to determine whether staff should have been recruited in the first place or whether the positions they fill are authorised. This involves a further verification exercise. The Sierra Leone case study (Pages 78-93) and the Kenya entry in the matrix (Page 26) illustrates these issues well.

The logistical challenges involved in physical headcounts can be enormous, and the quality of the resulting data is often challenged. The information gathered is used to remove from the payroll the names of anyone who does not present himself or herself to the census takers. Given that there are a number of legitimate reasons why an individual may be absent on a specific day (sick leave, study leave, holiday, detached duty) arrangements need to be made to account for legitimate absences.

There is evidence that consultants and government officials alike tend to significantly underestimate the logistical challenges of carrying out censuses and fail to utilise the information gathered. Ministry headquarters in national capitals often have an unrealistic concept of their capacity to communicate with and influence staff at provincial, regional and district levels. Resources available in rural areas are also often overestimated. In Uganda, for instance, early census exercises required that civil servants appear with photocopies of key documents, even though copying facilities were unavailable in many areas.

In the future, advances in telecommunications and technology will offer considerable opportunities, as the possibility of equipping census takers with mobile phones and laptop computers becomes affordable and achievable. There is growing interest in using 'biometrics', for example, scanned photographs and digital fingerprints.

Distribution of Questionnaires

The main alternative to the physical headcount, and the dominant methodology, is the distribution of questionnaires. Usually these are either to be completed by individual employees or by employers. These approaches are more often adopted when source data for human resource information systems is being sought. While considerably cheaper to administer than a headcount, questionnaire based approaches take considerably longer and rely on effective distribution and collection arrangements. Their success depends heavily on the honesty and co-operation of those asked to complete the questionnaire, who may perceive little advantage in the successful completion of the exercise. If the questionnaire is to be completed by the employer, it assumes the availability of reliable source data locally.

Questionnaire-based approaches range from those which are basically delegated headcounts (ie where a local line manager or pay officer is required to instruct employees to present themselves before him/her, often with documentation, so that he/she can complete the questionnaire) to a distributed attempt to reconcile alternative data sources. Key to the success of a questionnaire-based approach is achieving the buy-in of the source of the information sought, who may accord the exercise a low priority. Such exercises also suffer from misunderstandings about what information is being sought and an inconsistent

interpretation of terms. These issues are well explored in the Orissa case study (Pages 114-119).
Questionnaires can also be subject to the 'wish list' phenomena, whereby ever more information is sought. Thurston and Cain[3] report such an instance in Uganda, where the seven original fields specified in the HR database grew to over 220.

Reconciliation of Data Sources

A third approach involves reconciling data sources. This appears to be the least favoured methodology, presumably because of the difficulty of identifying a credible and reliable alternative data source. It has however been adopted successfully in Yemen using personnel records as the data source, and considered, but only partially adopted, in Uganda and Zimbabwe.

In their 1996 research project[4], Thurston and Cain identified three sources of data which could potentially be reconciled with payroll information and which could thus offer alternatives to headcounts and questionnaires: individual personnel files, the nominal roll or established register and other databases. The following section draws heavily on that work.

Paper-Based Personnel Files:

Personnel files are often the only authentic, reliable and legally valid source of most of the data required for HR management systems. If they are to be of use, HR systems must be complete and accurate to the required degree. Where the aim is to aggregate and analyse statistical information, a fairly high degree of error may be tolerated but for personnel management purposes, very little error will be acceptable because of the consequences for the individuals concerned. However, personnel records are not a popular source of data with those responsible for designing and implementing computerised personnel information systems. In Ghana, for instance, personnel files were very quickly rejected as a source, and in Uganda it took several years before it was accepted that they were the only reliable source of much of the data needed for the new system.

There are a number of reasons for this. Personnel files at headquarters are often incomplete and tend to be restricted to established staff. Personnel files held in the line ministries may be more complete than those in the headquarters, but they are in different locations from where data for computerised systems is being captured. Records tend not to be available for non-established staff or established staff initially recruited in non-established posts. Finally, the resources required to restructure the records system tend not to be included in technical assistance programmes.

These disadvantages do not outweigh the considerable advantages of utilising a reliable, legally verifiable data source that can be audited against the payroll and against the HR database provided that there is a unique number (normally the payroll number to facilitate

[3] Piers Cain and Anne Thurston, *Personnel Records: A Strategic Resource for Public Management, Commonwealth Secretariat, 1998* This study is available on the Trust's website at http://www.irmt.org/resources/download2.html
[4] *Ibid*

cross-verification). The significance of personnel files was echoed by a number of the people consulted in the study.

Nominal Rolls:

In many countries, civil service organisations are required to maintain lists of employees. This may appear initially to be a useful source of the core data needed for a HR database (name, age, position, etc). However, maintaining nominal rolls is often regarded as a low priority task, and the records tend to be out of date unless updating them is part of the reform exercise. Nominal rolls are typically compiled from other records, and updating them will involve going back to original records to resolve any disputes or discrepancies. They are secondary information, and on their own, they are not a sufficiently accurate source of information on which to base a new personnel system.

Databases:

There are clear advantages in using other databases as source data for personnel: most obviously that data can be transferred automatically without re-keying. However, the source database may itself be inaccurate. Thus, where it is known that there are ghost workers on the payroll database, the personnel database is likely to be seen as an independent source of data against which the payroll can be audited. Moreover, the source data may not be structured in a way that is suitable for the new database. Finally, unless the new database is simply an upgrade of an older system, the source database will have been designed for an entirely different purpose and it is likely there will be fields on the new database that cannot be completed from other databases. These issues are demonstrated in the Zimbabwe case study (Pages 100-101).

Figure 4 categorises countries studied according to methodological approach. Bold type indicates that the country is the subject of a case study.

Headcount	Questionnaires	Reconciliation of Data Source
Cameroon	**Ghana**	Yemen
Ghana	Rwanda	Gambia
Gambia	**Tanzania**	Uganda
Sierra Leone	Pakistan	**Zimbabwe**
Tanzania	Kosovo	
Zambia	Lebanon	
Chad	**Nepal**	
Guinea	Georgia	
Nigeria	Romania	
Senegal	**Kazakhstan**	
Cambodia	**India (Orissa)**	

Figure 4

Relating the Typologies

It is possible to link the objectives of the exercises reviewed with the methodology adopted. Cost cutting exercises are most likely to call for a full head count, whilst a reconciliation of data sources is likely to be the least appropriate approach as in such cases, almost by definition, there is no reliable data source with which to attempt a reconciliation. At the other end of the range, obtaining source data will almost inevitably require a questionnaire based approach unless there is a reconcilable alternative data source.

These are however neither absolute distinctions nor mutually exclusive approaches, and in the exercises explored both objectives and methodologies can be seen to merge into one another with questionnaire based approaches dominating. Figure 5 attempts an illustration of the relationship.

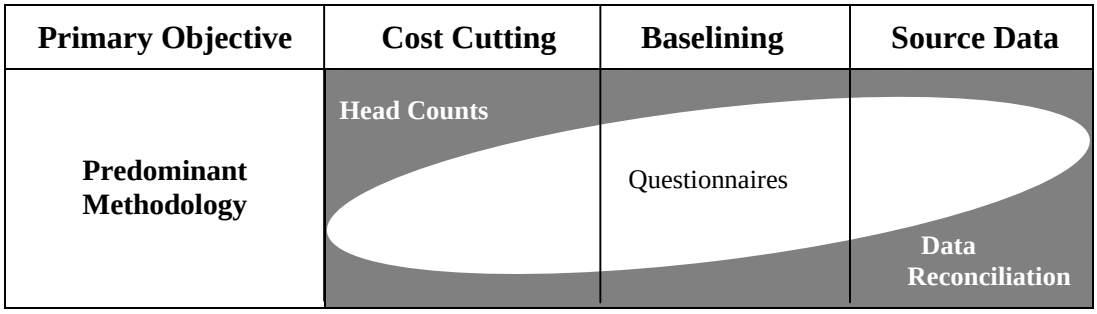


Figure 5: Relating the Typologies

CONCLUSIONS

Success and Failure Criteria

On the basis of this review, the most common reasons for a lack of success would seem to be:

- failure to establish appropriate mechanisms to deal with the product of the census
- incorrect identification of data required
- unrealistic timetable and budget
- underestimation of logistical difficulties and individual resistance
- lack of clarity about, or change of, objective and focus
- inadequate liaison between key ministries, most often those responsible for personnel management and those responsible for managing the payroll
- inadequate attention to strategies for maintaining accurate information in the future.

The most quoted reasons for success are:

- top level support
- local ownership
- credible sanctions and incentives to encourage compliance
- capacity to utilise the data rapidly
- efficient mechanisms for resolving disputes about the accuracy of the data
- effective programme planning
- availability of reliable source data.

Of the exercises explored the census in Kazakhstan emerges as the most widely acknowledged success (see case study, Pages 120-126). Key to this was presidential support, clarity of objective, trained implementers and a well-tested methodology. A good illustration of do's and don'ts emerges in the Tanzania case study, where the initial design of the 1988 census reflected many aspects of good practice (brevity, clarity, relevance, precision,) but the final exercise was marred with confusion and ineffective implementation (see Pages 74-75).

General Issues

Censuses are resource intensive exercises and must be planned strategically from the outset. It is essential to be clear about what the census can and cannot provide when setting the objectives for the exercise, to structure the exercise effectively in relation to the local context

and to conduct it professionally. Information requirements need to be carefully analysed and balanced against the capacity to verify, analyse and use the data that is gathered in a timely and effective manner. Census enumerators need to be well trained and those expected to supply the data need to know what is expected of them and the implications of a failure to comply.

We have been unable to obtain authoritative information about the costs of the exercises. This is in part due to the fact that resources are drawn from a number of different sources (separate donor agencies and various ministries) reporting in different ways to separate authorities, and in part due to the fact that censuses, usually being one component of a larger reform programme, are rarely costed and accounted for in isolation or subject to any cost benefit analysis in their own right.

Financial savings claimed as an outcome of such exercises need to be viewed with caution: not only can the benefits claimed be frustrated by a failure to action the deletions indicated on the payroll (as was believed to be the case in Cambodia and Tanzania) but the way in which such savings are calculated, as is explained in the Sierra Leone case study (Page 86), can be subject to considerable breadth of interpretation.

What is clear, however, is that these are expensive exercises, although the Orissa case study (Pages 114-119) gives a good example of the opportunities and risks of a low-cost, home-grown approach. These are usually undertaken as an act of faith.

Arrangements are invariably needed for resolving disputes about data and for rectifying errors. For example, in Zambia, when a census was piloted in the education sector, it is understood that a significant number of names were removed from the payroll that subsequently had to be reinstated. The census was taken at the end of the month, and no allowance had been made for the fact that many teachers were required to report to the provincial capital at that time to receive their pay.

Another significant issue that emerges consistently is local ownership, not only in terms of design of the exercise but in its delivery. There were a number of cases (for example, Ghana and Uganda) where there were long delays in actioning the deletions that the census identified as appropriate. This was often attributed to a lack of local ownership. The census can be perceived as an end in itself, conducted in order to fulfil an externally imposed condition for technical assistance. It is interesting to note that in Tanzania (see case study Page 77) and elsewhere, there has been a significant increase in the requests for deletion of names from the payroll in the period between the announcement of the intention to carry out a census and the date of the census itself. Local ownership was quoted as a theme of the more successful census exercises. The need for incentives and sanctions to increase compliance were also identified as key issues. As is illustrated in the Ghana case study (Page 66) there is a direct relationship between the quantity of the data and the provider's incentive for supplying accurate information. Whilst, as mentioned in Sierra Leone (Page 78) one factor in the breakdown of personnel systems is the absence of any consequences or legal implications for those under investigation or even found guilty of fraud or corruption.

The high expense of conducting a census can not be justified by a stand-alone exercise except perhaps when baselining. A snapshot of information in time is of limited value, as the data gathered is out of date even before the census is complete. To obtain real value, the exercise must be linked to a sustainable approach for maintaining accurate and reliable personnel

information. Normally, this will involve developing a strategy for rectifying systemic weakness from the outset of the project and commencing on this exercise prior to the census.

It takes considerable time to achieve completeness and to reconcile personnel and payroll information, and the greater the level of inaccuracy, the more difficult it becomes to achieve reconciliation. The issue becomes much more complex when the number of personnel databases grows. In The Gambia, for instance, there is a central Human Resource Information System and an Education Management Information System, and information about teachers appears on both systems. Not only do the databases need to be verified against paper files but against one another.

Establishing means of verifying individual identity are key, and technology will open new possibilities, such as scanned images or capturing biometric information. At the same time, it will be essential to have a unique numerical identifier that can be linked and cross-checked across systems (payroll, HR database and personnel file system) which will remain as a mechanism for ongoing verification and for triggering changes consistently across systems.

Data integrity is key, and a database will only be as reliable as the data sources upon which it is based. The study points to personnel records as the most reliable data source available and highlights the fact that they provide a point of legal verification of personnel information. If a high degree of accuracy is required, either for management purposes or for the purpose of verifying the payroll, then there is a need to build robust systems for managing records alongside the census exercise. A strategy for restoring order to personnel records is provided for information at Annex 4.

Finally, there must be ways of making managers accountable for the completeness and accuracy of payroll and personnel data in their area of responsibility. For instance, this might involve stopping salary payments if someone on the payroll was not enumerated, giving time for people away on leave or carrying out legitimate business to return and be counted. External auditors conducting random checks could then have as much impact as large scale and expensive censuses, provided that managers knew that they would be held accountable for inaccuracies and irregularities found.

Civil Service Censuses found favour because they appear to offer a quick way of recovering from the repercussions of years, perhaps decades, of failures to manage personnel systems effectively. When donor priorities and timetables drove the programme of which the census was a part, speed was more important than cost. However, such exercises are diagnostic. They do not provide the cure. That requires more robust systems, regular checks, valued incentives for compliance and real penalties for exposed abuse. This coupled with a capacity to audit and independent external scrutiny is the basis for enhanced and sustained HR systems.

ANNEX 1

SUMMARY MATRIX

REVIEW OF EXPERIENCE WITH CIVIL SERVICE CENSUSES
SUMMARY MATRIX OF COUNTRY CASES

Table of Contents

EASTERN EUROPE & CENTRAL ASIA REGION

MIDDLE EAST & NORTH AFRICA REGION

LATIN AMERICA REGION

BENIN

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: BENIN, AFRICA Donor Project (if applicable): ? Project Contact: Kazim Oezimer, Public Service Reform Advisor, Public School of Administration, University of Quebec (1987 - 1994) e-mail: ozimer@kwandatel1.com Implementing Agency: ? Level & Coverage: ? Major Donor: World Bank Cost: ?	In 1989 a structural adjustment programme was initiated by WB and IMF, following the major economic difficulties of the 70's and 80's. The Government of Benin has now embarked on a rapid transition to democracy.		In the years following 1987: ? Ongoing reconciliation - every month a comparison is made between all staff registered and paid on the personnel files (in the Public Service Department) with data found in the ministerial departments. ? The same comparisons are then made for salaries and allowances (Systeme Postes Budgetaires). In addition, both the Civil Service and MoF have to authorise the remuneration of every single post under job conditions.	The results were sustained until 1994 when Kazim Oezimer left the project. Anomalies were discovered each month – thousands in all (total figure unavailable at time – reports are in French and can be accessed by contacting KO).	The Public Service Commission addressed the anomalies. KO describes this as the 'permanent logical census' which integrates HR and budget control systems. Good value for money compared with more traditional census taking.

Same strategy as Central African Republic where the project manager was the same.

BURKINA FASO

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country: BURKINA FASO, AFRICA WB Project: Public Institutional Development Project, FY91 Project TM: N/A Implementing Agency: Ministry of Civil Service and Administrative Reform Level & Coverage: ? Major Donor: IDA Cost: $.27m	Budgetary crisis largely fuelled by uncontrolled growth in the civil service in 1989/90.		Detailed methodology in Technical Annex , Volume II #10332, in French.		

It has not been possible to identify a contact person, as the Task Manager has left the World Bank. The Technical Annex should be useful.

CAMEROON

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: CAMEROON, AFRICA Donor Project (if applicable): ? Project Contact: Mr Mbakod, National Co-ordinator, Ministry of Finance, Tel: 00 237 23 15 79 Implementing Agency: BSCT (Bureau de Conseil en Strategie et Technique d'Orginisation) Level & Coverage: ? Major Donor: ? Cost: ?	In the 1990's several attempts were made to carry out civil service censuses but they yielded insignificant results because the manual systems employed were susceptible to fraud and distortion. A computer system was then designed to minimise time and cost problems.	Eliminate fraudulent workers from payroll. Improve international donor interest.	August 2000 census: ? 200 BCST staff were based at various census centres and input data on laptops as it was collected. ? The data collected from the centres in the hinterland and diplomatic outposts beyond Cameroon's borders were fed into a fixed database in Yaounde. Data analysis centres also operated from provincial headquarters within Cameroon.	Collection and analysis of data exceeded daily targets. Interviews averaged circa 120/day as opposed to expected 80/day. Both the goal and the actual numbers of those interviewed surpassed the average of 38/day interviews undertaken when the manual methods were in use. 17,000 *ghost workers* expected to be identified in Yaounde alone – they had not been counted in past census attempts.	Cameroon officials still analysing the results and making adjustments following the many irregularities that were unearthed. The Ministry of Public Service and the Ministry of Finance is responsible for further follow-up. *Awaiting further information.*

CENTRAL AFRICAN REPUBLIC

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: CENTRAL AFRICAN REPUBLIC, AFRICA Donor Project (if applicable): ? Project Contact: Kazim Oezimer, (1986 – 1994) ozimer@rwandatell.com Implementing Agency: ? Level & Coverage: ? Major Donor: World Bank Cost: ?	After decades of political turmoil and social unrest, the Government of Central African Republic is embarking on a programme to address its economic frailty and governance problems.		Since 1986: ? (Ongoing reconciliation) – every month a comparison is made between all staff registered and paid on the personnel files (in the Public Service Department) with data found in the ministerial departments. ? The same comparisons are then done for salaries and allowances (Systeme Postes Budgetaires). In addition, both the Civil Service and MoF have to authorise the remuneration of every single post under job conditions.	The results were sustained until 1994 when Kazim Oezimer left the project. Anomalies were discovered each month – thousands in all (total figure unavailable at time – reports are in French and can be accessed by contacting KO).	The Public Service Commission addressed the anomalies. KO described this as the 'permanent logical census' which integrates HR and budget control systems. Good value for money compared with more traditional census taking.

Same strategy as Benin where the project manager was the same.

CHAD

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: CHAD, AFRICA WB Project: Management of the Petroleum Economy Project, FY2000 Project TM/Contact: Joel Tokindang Sibaye, Jtokindang@worldbank.org Economist, Chad Implementing Agency: ? Level & Coverage: ? Major Donor: IDA (for harmonization) Cost: $252,000 for harmonization of census and payroll database, development of fichier unique and training of users.	Administrative reform programme in the context of the tapping of oil resources with WB assistance. Harmonisation of the census and the payroll database is used as a performance indicator.	Elimination of ghost workers.	Census was to be completed by 6/30/00: - Seven months initial implementation, maintenance - During second phase: four weeks international experts, four weeks national experts, workshops with 20 participants.	Teams were sent all over the country. Some discrepancies have been found, which are now being cleared up. They are in the process of putting in place a single-reference file system between the MoF and the MoCS.	

ETHIOPIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: ETHIOPIA, AFRICA Donor Project (if applicable): ? Project Contact: Mulugeta Abraha, Deputy Director, Civil Service Reform Programme e-mail: csrp@telecom.net.et Implementing Agency: Federal Civil Service Commission Level & Coverage: Federal and regional levels Major Donor: ? Cost: ?	The Federal Civil Service Commission (FCSC) is required to collect annual statistical reports on a regular basis as part of the Civil Service Reform Programme.		FCSC collect statistics from every federal and regional institution. Currently finalising a new grade classification project and will conduct full-scale census in 2001 based on the new classification. Teams will visit each Ministry and conduct a physical inventory.	Currently, there is no way of proving the existence of ghost workers or to check the information requested each year. This data is however put on the database.	*Awaiting further information.*

THE GAMBIA 1

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: GAMBIA, AFRICA WB Project: Structural Adjustment Program, 1986 Project TM: ? Implementing Agency: GoG Level & Coverage: ? Major Donor: ? Cost: ?	Economic stagnation and rapid growth in the public sector necessitated efforts to reduce the high cost of the civil service. The Gambian Civil Service Reform Program began in 1985, including retrenchment, pay and grading, and institutional development as key components. The census was among the key components. "Unlike the annual exercises in Ghana, retrenchment in Gambia was conceived and implemented as a discrete, time-bound program with several stages." (de Merode et al, 167)	- Baseline data for retrenchment	Census was carried out in August 1985. It was designed and managed by a government task force and processed manually.	De Merode et al note that the census had "serious design and implementation problems: census forms were not sufficiently specific to enable consistent tabulations of employment categories, no final tally was produced, and most observers agree that the results were of little value in identifying workers to be retrenched. Consequently the scope of the first round was narrowed to non-permanent staff, and workers subject to retrenchment were identified in a series of consultations with individual ministries directed by the Secretary-General of the Presidency. In November 1985 and extending through early 1986, some 2,600 out of 5,000 non-permanent workers were removed from the payroll, receiving one month's salary as severance pay. Estimated annual budget savings were dalais 2.5 million ($0.6 million)" (167)	

Source for all information in this example is de Merode and Thomas in Lindauer and Nunberg. De Merode and Thomas conclude after reviewing the experience of Gambia, Ghana and Guinea: "The poor record of civil service censuses in generating lasting reforms is a conclusive finding of this study." (188) See also box on p. 189.

THE GAMBIA 2

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: THE GAMBIA, AFRICA Donor Project (if applicable): ? Project Contact: Ida Auber, HRIS Unit, Personnel Management Office (PMO) Implementing Agency: Human Resources Information Systems (HRIS) Unit Level & Coverage: Departments of State, not service wide Major Donor: Government of The Gambia UNDP – Education headcount	Human Resources Information Systems (HRIS) Unit established to provide a centralised employee database for the entire civil service that is accurate and easily accessible; provides data compatible with payroll system. HRIS conducts staff audit and verification exercises regularly in exercise of PMO's mandate to monitor and control personnel nos. Ten Department of State headcounts carried out in last 10 years. November 2000 last one.	Numerous problems identified – ghost workers, inaccurate payroll, eg double allocation of payroll numbers, incomplete records, underpayment or overpayment of salary etc.	Department of Education 1997 headcount: ? Complement of 13,000 plus teachers countrywide ? two teams of six PMO staff, plus Education Officers from six regions were trained to carry out the census. ? PMO responsible for designing the form and many subsequent modifications. ? Piloted on a small scale first of all ? two weeks maximum to gather the data ? Cross-checked for accuracy against: payroll printout, civil service database printout, HRIS data information sheets, registration of anomalies forms, recurrent details of establishment. There are six units responsible for feeding (continues)	PMO feels the objectives are being met but plans a major project on management of personnel files to enhance capacity to verify information.	Plan to link the payroll database to all departments of state – when up and running will be capable of producing reports for relevant planning, analysis of posts and vacancies, age profiles, qualifications etc Vital that smooth communication exists within departments and HRIS unit and in particular the Accountant General Department.

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
<u>Cost:</u> Depends on Department – ranges from D15,000.00 – D30,000.00			the relevant info to the HRIS unit – Accountant General's Department, Personnel Management Division, Human Resource Development Division, Management Service Division, Economic Management Capacity Building Programme and the National Records Office.		

GHANA 1

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: GHANA, AFRICA WB Project: ? Project TM: ? Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?	By 1983 public wage bill stood at 5.3% of the GDP: heavy overstaffing – 2.5 civil servants per 100 inhabitants – characterised the civil service. This put pressure on the wage bill, which was highly compressed by 1984. GoG's Economic Reform programme of 1983 attempted to reverse these trends as did the 1987 Civil Service Reform Program, of which the key components were retrenchment, pay and grading and institutional development. To reach the retrenchment targets, three censuses were conducted.	To establish a headcount. Provide baseline data for a database. Understand the structure of employment. Reduce ghost workers.	First census conducted in 1986 by the Office of the Head of Civil Service (OHCS) Second and third census undertaken with the help of expat. consultants in 1987 and 1988 respectively. These counts, based on the computerised payroll, drew on information supplied by payroll clerks and personnel officers and were computer processed. Nunbeg notes that the censuses in Ghana used the payroll to count civil servants, requiring that legitimate payroll claims be made in person and that each bonafide employee receive a numbered chit to be presented thereafter to collect his or her pay.	First census confirmed the high proportion of civil servants at lower levels. Flaws in the census's design and implementation, compounded by manual processing of data and the absence of technical assistance, prevented it from producing an accurate picture of civil service employment. de Merode et al view the two following censuses as more successful. While Nunberg finds the censuses less than comprehensive, she allows that it "did, however, provide important baseline data to begin the employment reduction program, thus fulfilling an essential function." (131)	Nunberg concludes that the exercise did not create durable links between the computerised payroll system in the MoF, the personnel records in the Office of the Head of the Civil Service and the annual Budget. (130) Nunberg also emphasises the importance under this methodology of having the institutional capacity to utilise the data in a computerised monitoring system (to avoid rapidly becoming out of date), and also to avoid frustrating civil servants who have to go through successive surveys. (131)

Source for all information in this matrix is de Merode and Thomas in Lindauer and Nunberg, and Nunberg in Lindauer and Nunberg. De Merode and Thomas conclude after reviewing the experience of Gambia, Ghana and Guinea: "The poor record of civil service censuses in generating lasting reforms is a conclusive finding of this study." (188) See also box on p. 189.

GHANA 2

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: GHANA, AFRICA Donor Project (if applicable): ? Project Contact: ? Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?	Serious problem of 'ghost workers' inflated size of payroll. Unclear whether the government was cutting real people or ghosts from payroll (GofG agreed to reduce the civil service by 15,000 year for three years)	The Integrated Personnel and Payroll Database Project was initiated in 1990 to ensure an accurate payroll, determine salary structures and assist in budget preparation.	Relational database. the application software is a package called SKIAGIP implemented on a RISC 6,000 computer running on the AIX UNIX (Version 3.1) operating system used by the Accountant General's Department. The database is accessed buy 150 PC's and dumb terminals over an Ethernet network using TCP/IP protocol. Combines information about staff salaries and personnel data to perform the payroll function.	Payroll figures could be directly related to staff numbers and grades and for the first time a comprehensive picture of government employees could be established. The removal of ghost workers recouped the cost of the system. Providing timely information was less successful.	*Please refer to case study.*

GUINEA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: GUINEA, AFRICA WB Project: ? Project TM: ? Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: $5–$25 per civil servant	When the country launched its civil service program in 1985, it faced a disastrous legacy in the public sector from Sekou Toure's regime. The civil service was overstaffed, underpaid and in disarray. Transformation in the role and size of state was sought. Inefficient, overstaffed underpaid civil service. Civil service reform (including rationalisation) was central to the structural adjustment program. Lack of a centralised payroll system.		Three censuses were conducted – two nationwide, and one local census in Conakry, the capital.	The first census took place between 12/85 and 5/86, estimating civil service employment to be at about 71,000 (excluding parastatals). However payroll and personnel information systems proved unable to maintain accurate census information. A verification exercise in 1987 in Conakry revealed that 5 % of the entries in existing rolls were spurious. The results of this census proved equally ephemeral. It was not until late 1988 that the lack of institutional capacity for manpower monitoring and control began to be addressed. Administrative and financial affairs divisions were established in all ministries and improved information systems were developed. A second general census, carried out between 12/89 - 7/90, validated about 93 % of nominal rolls in the regions and 73% in Conakry, again illustrating the rapid erosion of payroll information since the 1987 exercise. Provisional results placed total civil service employment at about 51,000 in late-1990. The new census information was to be loaded onto newly developed payroll and personnel information systems, which was expected to come on line in early 1991.	

Source for all information in this example is de Merode and Thomas in Lindauer and Nunberg. De Merode and Thomas conclude after reviewing the experience of Gambia, Ghana and Guinea: "The poor record of civil service censuses in generating lasting reforms is a conclusive finding of this study." (188) See also box on p. 189.

KENYA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: KENYA, AFRICA Donor Project (if applicable): ? Project Contact: Mr Sogomo, Secretary Teachers Service Commission Tel No's 331144 or 331775 Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?	Kenya Teachers Census, 1988 was part of a programme of cost containment measures. The increasing cost of education, particularly the rising teachers wage bill needed to be adressed.	? To identify detailed information on requirements for teaching service and reforms rationalisation decision. ? To assess the options for implementing policies against agreed criteria, including cost effectiveness. ? To establish the student/teacher ratio in schools.	It is thought that circa 600,000 teachers were surveyed.	Identified: a) over age teachers still in service b) forged professional and academic certificates c) irregular promotion of teachers without following stipulated procedures d) teachers training documents with the names shown not tallying e) persons suspected to be 'ghost teachers.	*Awaiting further information.*

NIGERIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: NIGERIA, AFRICA, Manpower Audit, Donor Project (if applicable): IMF Stand by Agreement, 8/4/2000 Project TM/& or Contact: Mike Stevens (WB) (202) 473 7493 Implementing Agency: Federal Government of Uganda (FGN): Conducted by local, private consulting firms. Level & Coverage: Covers all ministries and extra ministerial departments of the Federal Government, excluding the armed forces, commercial and sub-vented parastatals - overall covers about 45% of the public service.	Long erosion of real pay, resulting in many staff having wages below minimum living wage. The Government adopted a new Harmonised Public Salary Structure and Allowances for the Federal Public Service effective May 1, 2000. The new scales were to be absorbed by wage bill savings. FGN operates a decentralised payroll system, which is managed by individual ministries and departments and funded through monthly releases authorised by the Accountants General of the Federation from the Central Bank into the ministry bank accounts in commercial banks.	To identify actual staff strength, ministry by ministry. To identify and eliminate ghost workers and other financial malpractice, and quantify financial losses, if any, from such malpractice.	Thirty consulting firms from private sector and independent auditors for fieldwork. Consultants were provided with lists of all Federal Government establishments. Each location was sent supply of standard forms for staff to complete (basic information) On day of headcount, staff was to line up, present forms, photograph and personal files. Forms were checked against information on file and signed by staff supervisor. Disparities were noted and data entered to a spreadsheet. Information on pay was also entered onto a second spreadsheet. Revised nominal rolls and payrolls were created. Names not on nominal	Minimum number of ghost workers identified was 12,816. Over the said period, the Government is estimated to have paid N 6,488 billion over and above what it should have spent on personnel costs. As suspected, the payroll audit also showed the presence or potential for malpractice other than ghosts, such as double dipping, failure to record transfers/retirement, overpayment of allowances, improper or incomplete appointments.	See suggested follow-up steps in attachment (Stevens, 4/25/2000) and recommendations in Staff Audit reports, Volume I As Stevens notes, while the audit can detect abuse such as ghosts and fraudulent allowances, it cannot quantify the extent of hiring in excess of authorised establishment. In this case, staff are real people, sometimes in possession of authentic documentation, and cannot be simply eliminated from payroll.

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Major Donor: N/A Cost: ?			roll were deleted from payroll. Staff emoluments were verified, and authenticity of appointment documents was checked. Timetable: Consultants began work in July 2000. Results were made available in December 2000.		

NIGER

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: NIGER, AFRICA Donor Project (if applicable): Public Sector Adjustment Credit, 2/97, and Public Finance Reform Credit 9/98 Project TM/Contact: ? Implementing Agency: Government of Niger Level & Coverage: ? Major Donor: ? Cost: ?	1990-93, rising civil service wage bill (accompanied by falling revenues) had lead to a financial crisis with impact on investment growth and development of private sector. Wage bill rose from 4.2% of GDP in 1987 to 6.4% in 1993. By 1994, the nominal wage bill was 91% of budgetary revenues. Regaining control over public finances through increase in revenues and containment of wage bill (by controlling size of civil service in the medium term) is key focus of fiscal policy, 1997-99. Census to be carried out in the context of a comprehensive civil service reform programme.	To establish a central, computerised civil service (personnel and payroll) database.	Was to be completed in 1997. ? *Awaiting further documentation*	Public Finance Reform credit project indicates that the census led to removal of 319 employees (about 1% of the civil service) whose status was found to be irregular. Civil service database and payroll files have been integrated. *Awaiting further documentation.*	*Awaiting further documentation.*

RWANDA 1

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: RWANDA, AFRICA Relevant WB Project: Economic Recovery Credit, FY98 Project TM: Chukwuma Obidegwu Implementing Agency: ? Level & Coverage: ? Major Donor: 1995 - UNDP Cost: ?		Elimination of ghost workers Accurate headcount and profile of employees Input into a database for further rationalisation of function, posts and compensation within the civil service, and a computerised payroll database.	Census undertaken in 1995, updated in 1997, and another conducted in 1998.	(May have resulted in the removal of 3,500 ghost workers, retrenchment of 2,850 unqualified civil servants. *Awaiting further documentation.)*	*Awaiting further documentation.*

RWANDA 2

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: RWANDA, AFRICA Donor Project (if applicable): ? Project Contact: Pascal Niyigena, Director, Planning and Human Resource Development, Ministry of Public Service Tel. (250) 87286 Implementing Agency: Ministry of Public Services and Labour Level & Coverage: ? Major Donor: UNDP Cost: ?	Following the civil war, the Rwanda government has embarked on a series of reforms, including the restoring of the administrative structure and capacity of the civil service which had all but been destroyed. Despite such efforts, the civil service grew to about double its size due to a lack of control over recruitment, the need to create jobs, restore social services quickly and attempts to reintegrate trained refugees.	Address varying wage bills, unknown quantity of ghost workers and lack of records systems. a) determine quality and quantity of paid civil servants b) locate and identify civil servants c) evaluate the wage bill and budget according to real needs of CS d) complete and refine the organic chart of the public service e) create a database to lead onto a personnel management and payroll system	1998 Census: 39,887 posts were covered in two months – 441 interviewers (trained beforehand) took six days to gather data and one month and three weeks to analyse data. Forms designed by the Civil Service Ministry were sent to the ministries and regional centres to be filled in by each employee. The forms were then manually checked.	? 7,000 ghost workers removed from the payroll. ? 7,700 teachers are being regulated and put on the payroll.	The exercise highlighted the lack of payroll controls. The data was used to eliminate the irregular cases but not to constitute a database. Lack of qualified people in computer sciences and applied statistics seen as a drawback. Time, equipment and geography were also seen as constraints to the exercise. Further census planned as the first met immediate objectives only. Helped to identify ghost workers and those who were employed without formal approval. However, the government has still to "restore effective establishment controls and is unable to link personnel data with the payroll to verify payments made."

SENEGAL

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: SENEGAL, AFRICA WB Project: Structural Adjustment Program III, 1987 Project TM: ? Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?	Inefficient, overstaffed underpaid civil service.	Identification of payroll irregularities	Payroll/personnel audit was expected by April 1987 "…checking the payroll by physical verification to identify civil servants and state employees who are in an irregular situation."		*Awaiting documentation from.*

SIERRA LEONE

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: SIERRA LEONE, AFRICA Donor Project (if applicable): ? Project Contact: Roland Ulreich, Ministry of Finance, 232 22 231458 Implementing Agency: ? Level & Coverage: Includes teachers and police but not pensioners and military Major Donor: EU Cost: ?	Verification of the Civil Service Project (including teachers and police) - precondition for the SAP provided by EU. Problems that have emerged during last nine years of civil war include a breakdown in personnel control systems, presence of ghost workers, wrong appointments being made, responsibilities for personnel management lack clear definition, no consequences or legal implications for officers found guilty of fraud and corruption etc.	To establish a central and comprehensive payroll system which will ensure timely and accurate payment of all legitimate civil servants – to be ghost worker free.	Began October 1998 Conducted by eight consultants. First month – information gathered (re staffing levels and state of records system for each department), design of appropriate technology and establishing procedures. Chartered accountants investigate anomalies and put accounting structures in place Photographic registration (digital imaging in combination with networked relational databases (WinNT, MS Access)) and photo ID cards introduced. Screening process – interviews, check of letters of appointments etc carried out by eight consultants along with the senior	6,181 ghost workers eliminated off system Checks can be printed for each unit in each department. Savings of approx. Le600,000,000/month (circa US$300,000/month) Led to the creation of CPMIS – Computerised Management Information System	Please refer to case study.

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
			personnel managers of each department (CID detectives for suspicious cases) Transfer all data to computerised payroll system (SCO-UNIX platform in AG department)		

TANZANIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: TANZANIA, AFRICA Donor Project (if applicable): ? Project Contact: David Sawe and Dickson Maimu, Public Sector Reform Programme Tel. 255 0742 782175 Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?	Inappropriate manning levels, large size of CS, inability to monitor trends in the wage bill, number of employees and presence of ghost workers 1995 – Civil Service Reform Programme established (DFID) crisis in personnel information management and inability to target wage bill and plan HR development, pay pensioners on time and evaluate policy measures	1988 – identify ghost workers in payroll, determine exact size and composition of CS and create database profiling every valid employee	1988 census – questionnaire distribution 1994 - National Pay Day Exercise (ministry of Finance) – build a personnel database with key data for entry onto payroll database and remove ghost workers Personnel Control and Information Systems Project launched - focus on improving the central systems 1996 - Payroll Verification Exercise Employers requested to sign off against payroll-sourced lists for each employee who was known to exist	16,000 ghost workers identified 13,360 ghost workers identified but no database established	No follow up, no reconciliation with payroll so no guarantee g/w were removed from payroll. No process for regular updates – technical constraints of questionnaire design/low-level programmers. Exercise hampered by staff with stake in ghost workers existence. People nervous when forms are sent out and many names are immediately withdrawn.

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
			1997 – two audits carried out – fresh data collection exercises absorbed lessons learned from past exercises (one pre-printed page only with managers data sheets)	6,000 deletions (500 then reinstated once validity checked)	The censuses were only snapshot in time however. Need a well-defined system for updating forms. Not sure yet how the changes will be monitored and the info needs to be kept safely. The individual supplying the data signs and keeps one form and the other copy kept on personnel file. Signature cannot be captured in the CPMIS so has to be kept safely as a legal record. 1997 and 1998 follow-up - taking into account lessons learned, new forms designed and distributed for staff audits. 20 June 2000 Integrated HR and Payroll system inaugurated – looks efficient but too soon to judge new processes still being designed.

UGANDA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: UGANDA, AFRICA WB Project: N/a (ERP, FY87, TAIII) Project Contact Oscar Oszlack Oscar.oszlack@top.org.ar Implementing Agency: GoU Level & Coverage: All non-military government employees, including regular civil servants, contract employees and temporary employees Major Donor: UNDP – MPP Cost: $ 1 million +	Following the turmoil and mismanagement of the 1970s, and as part of Economic Recovery Programme, Government sought to streamline the civil service and limit wage bill. Concurrently a project to review functional and staffing requirements.	Eliminate ghost workers from government payroll Reduce employees through retirement and removal of temporary employees.	The inconclusive census of 1987 led to an extended sub-project in 1989: Registration of Public Service employees. Preparations (with a request for photographs to be attached) were delayed and so the exercise didn't commence until February 1990. Questionnaires were distributed to 2000,000 employees nationwide. returns took longer than expected. Sixty-two data analysis and data entry staff were trained and data entry commenced early May. Incoming forms were slow to arrive but staff unable to keep up with the workload. Degree of completeness poor therefore editing required before entry which slowed process – unlikely that data would provide the necessary information for determining scale of CS. Commission therefore will use a sample of the data for planning purposes.	Qualitative impact yet to be determined.	Post-analysis – ? census tools had little capacity to process large volume of data ? data compiled did not allow flexible cross-referencing and analyses ? data became outdated very quickly ? extremely costly ? no sustainable database created for maintaining the data ? negative attitudes of civil servants ? insufficient funds for "editing allowances" ? high costs of photographs.

ZAMBIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: ZAMBIA, AFRICA Donor Project (if applicable): ? Project Contact: N/A Implementing Agency: Cabinet Office and PriceWaterhouse Coopers Level & Coverage: Teachers only in 3 provinces Major Donor: DFID Cost: ?	Census carried out in 1997/8 on the education sector. Nearly half the civil service made up of teachers - believed to be 10,000 ghost workers.	Make savings by reducing ghost teachers and schools.	Three provinces were initially surveyed, with hopes that the other six will follow suit.	Ten thousand names were taken off the payroll. However, a large number of these were in respect of employees who were legitimately absent from their normal place of work. The actual number of confirmed ghosts was 1,000. Two thousand, uncertain cases and 7,000 went back on payroll.	Census was abandoned, and was never rolled out.

ZIMBABWE

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: ZIMBABWE, AFRICA Donor Project (if applicable): ? Project Contact: ? Implementing Agency: Public Service Commission (PSC)? Level & Coverage: ? Major Donor: ? Cost: ?	Since 1996, the Government of Zimbabwe (as part of a structural adjustment programme) has embarked on a civil service reform programme. Aims to reduce numbers of employees and improve efficiency	Manpower audits are regularly carried out by PSC to "obviate potential problems of unauthorised employment, ghost workers, reports and other forms of corruption".	Reconciliation of data sources. On a monthly basis, the salary service bureau produces a list of all those paid in each Ministry. This is reconciled with the revised establishment list. Discrepancies are investigated and rectified. A quarterly return is sent to the Treasury and PSC enabling a further check. A headcount also undertaken by PSC in 2000. Personnel arrived unannounced aimed with the official establishment list.	The audit took place whilst the civil servants were on strike. Outcomes are unknown.	Awaiting further information.

CAMBODIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: CAMBODIA, EAP Donor Project (if applicable): WB Public Sector Reform Credit Project TM &/or Contact: Natasha Beschorner, World Bank (202 473 2598) Implementing Agency: Council for Administrative Reform, Cambodia Level and Coverage: Core civil service and provincial administrations Major Donor: World Bank Cost: ?	Cambodia civil service is thought to be too large, to have the wrong skill mix and to be poorly remunerated. Government of Cambodia and World Bank preparing a Public Sector Reform Credit. Computerisation of the payroll seen as a critical element of effective establishment control and budgetary management. Current systems inadequate. Census regarded as a prior step.	To eliminate ghost workers. To establish a baseline for the new computerised payroll. Thereby to improve budgetary management and rationalise size of the civil service to level comparable with that of similar countries.	Methodology: Prepare and distribute to each ministry a census form including a basic employee profile. Enter census form into computer database. Verify census database printouts with line departments. This includes collecting photographs and digital fingerprints of all employees, along with supporting records (eg marriage and birth certificates, proof of employment, etc). Removal from the payroll of ghosts identified. Computerisation of the payroll, using census data as a starting point.	Census returns have been entered into database. However, verification is taking longer than expected. Digital photographing and fingerprinting has slowed work down – so far it has been completed in only 4 provinces. Six thousand and ninety-one ghosts have been identified, accounting for around $1 million per year of the wage bill. However, not clear that Treasury has so far stopped paying this people. Computerisation of the payroll has been slow. It is unlikely to be completed before July 2001. Integration of payroll into HRIMS has not yet been initiated.	Too soon to tell – work is ongoing.

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
			Eventually, aim to link computerised payroll up to line departments, as part of a Human Resource Information Management System. Work has been very protracted and is still incomplete.		

ORISSA, INDIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: ORISSA, INDIA, SAR Donor Project (if applicable): DFID technical assistance project. Possible World Bank adjustment loan under discussion. Project TM &/or Contact: Mark Sundberg, World Bank (202 473 4369). Implementing Agency: Government of Orissa, assisted by Bannock Consulting (UK) Level and Coverage: Core civil service. Major Donor: DFID. Possibly World Bank. Cost: ?	Civil service reform is a pressing priority – civil service salaries, pensions and debt interest account for unsustainable share of revenues. However, personnel management is decentralised, records are kept in paper form and there is poor reporting to the Finance Department. This means that there is little reliable information on the size, structure and profile of the civil service. World Bank requested GoO to conduct a census in May 2000. Bannock Consulting is providing technical assistance to the Government of Orissa, with financial support from DFID. TA covers expenditure management and functional reviews as well as manpower processes.	1) To provide better data with which to conduct functional reviews and appraise options for civil service reform. 2) To form the basis of better establishment controls, including allowing routine reporting. 3) Elimination of ghosts not an explicit objective – believed not to be a problem.	Inputs: GoO staff plus international consultants. Methodology: Consultants recommended a rigorous methodology, building on the payroll. However, eventual approach followed was simpler: 1) Prepare and distribute to each ministry a census form including an employee profile including name, sex, marital status, age, date of joining government service, etc. 2) Enter census returns into database, making cross-checks. 3) Explore options for linking employment database to an employment database and the payroll. Timetable: Work started in May 2000 and was due to be completed by March 2001.	Data collected by GoO appeared initially to cover no more than 65% of the civil service. Most departments did not use the specially designed forms issued by the Finance Department. The 450,000 census returns have now been entered into a manpower database by an international consultant. A very high level of data errors identified: lack of quality assurance processes and inadequate links to payroll. As at Nov 2000, the data had not been cross-checked with the payroll, although consultants were recommending that this should happen.	Impact and sustainability cannot be assessed at this stage. Work is still ongoing. GoO said to be impressed with the database. However, GoO has been heavily dependent on consultants to manage process. Some concerns about the risk of the census going to waste because of lack of capacity to maintain the employment database.

NEPAL

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: NEPAL, ASIA Donor Project (if applicable): ? Project Contact: Mr D B Thapa, Joint Secretary Mr TP Guatam, Under Secretary, Ministry of General Administration (MOGA) Implementing Agency: Ministry of General Administration and Janet Tay, Consultants ?? Level & Coverage: All posts Major Donor: Asian Development Bank Cost: ?	A census in 1991/2000 was undertaken as part of broader reform programme to lay the foundation for a sustainable system for maintaining information about pay and personnel. Requirement to overcome institutional weaknesses in public sector management as significant aspect of Nepal's efforts to break the cycle of poverty.	1993 census resulted in inconsistent and inaccurate of information. Nineteen ninety-nine census aimed to build on this to: ? obtain breakdown of size and composition of civil service ? establish computerised database for civil service ? review existing payroll arrangements and formulate plan for more unified system.	Batches of questionnaires were handed out to each district. Each department then responsible for sending them back to MOGA (no way of ensuring completeness or accuracy of returns).	Methodology was not rigorous enough to provide reliable data that could be checked against the payroll. Only 16 districts were evaluated and only two had sent completed questionnaires. See case study for further information.	

PAKISTAN

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: PAKISTAN, ASIA Project : ? Project TM &/or Contact: ? Implementing Agency ? Level & Coverage ? Major Donor: ? Cost: ?	Pakistan's civil service suffers from overstaffing, specially at lower grades; inadequate skill mix; corruption; low morale; and an opaque pay and pension system. Analysis of government employment and wage bill is hampered by incomplete and poor quality of available data. Federal Government Civil Servants Census. Management Services Division, Government of Pakistan. Federal government's civil servants (on payroll on July 1 of the census year). Excludes: civilians paid from the defence budget; employees of federal corporations (for which a separate census is undertaken); non civil service employees of Railways; and temporary employees.	To provide basic information on size, composition, skill mix and other characteristics (a total of 35 characteristics) of federally employed civil servants.	Census of federal government civil servants is undertaken after every three years. Two sets of questionnaires, one for the officers and the other for the staff, are distributed to all federal ministries and divisions. These are to be filled and returned by government employees to the Census Officers by the specified deadline. The questionnaire data are electronically processed by the Management Service Division, which issues the census report containing various tables and analysis.	Starting 1963, twelve censuses have been undertaken, the last one in 1999. However, reports on the last two censuses (1996 and 1999) have not been published.	Although the census has been a routine exercise, it covers only a small fraction government employment. Not only that it leaves out a portion of federal government employees, the provinces, which accounts for almost three-quarters of government employment, do not conduct any such census/survey.

GEORGIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: GEORGIA ECA Donor Project (if applicable): ? Project Contact: David Tchkauda, Civil Service Bureau (State Chancellery of Georgia) (99 532) 931541 Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?	Two basic censuses have been conducted since independence, in 1999 and 2000.	Baseline data for civil servants required.	Staff of the Civil Service Bureau (CSB) (est. 1998) and heads of personnel departments conduct the census. Short questionnaire designed by CSB, attached to a circular letter of the State Minister. Distributed to the executive branch (central bodies of ministries, regional divisions and sub-governmental organisations). Two months to complete. Cross-checked with official letters and information from ministry headquarters. Staff were not given any training beforehand.	Basic information gained was deemed essential for the establishment and running of CSB. Resulted in personnel downsizing.	As the government structure is developing at a rapid pace regular updated information is essential - follow-up census planned. Awaiting further information.

KAZAKHSTAN

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: KAZAKHSTAN, ECA WB Project: Public Sector Resource Mgmnt. Adjust Loan, 7/97: progress on census a condition for 2nd tranche. WB Contacts: Amitabha Mukherjee Ali Hashim (Technical Assistant on IT) Implementing Agency: Commission on Civil Service Reform, GoK Consulting Firm: N/A. Conducted by group of MoF staff, dedicated to this exercise for 6 months. Level and coverage: All employees paid from State budget: All employees of ministries and agencies of the central executive branch	This was carried out in the context of a comprehensive reform of state administrative structure to adapt to market-oriented economy, including the development of a civil service. The Bank's first loan had provided technical assistance for setting up a Personnel Information System.	To establish a headcount, obtain qualitative data, provide input into the personnel roll and post management system, and provide basis of information for establishing legal framework for civil service recruitment, etc. Eliminating ghost workers does not seem to have been a key objective: Amit contends that the "ghost worker" problem is not one encountered in FSU countries. Instead in FSU systems, where each budget entity is allocated lump sums for wages, the incentive is to minimize the number of staff and pay them more. Actual numbers of staff is low in relation to the authorised establishment.	Some departments exempt, such as the Administration of the President, Defence, Interior Affairs etc. MoF together with a publishing house, prepared forms, which were then delivered to relevant fiscal departments. MoF collected the completed forms within the specified timeframe. Data entry was handled at the Main Computer Center of the MoF. Planned timetable: Phase I: census of employees of ministries and agencies of central executive branch and health and education employees in two oblasts plus analysis and rectification of anomalies. tbc by 6/98.	The census has been completed. It has helped identify problems in the quality and qualifications of state-employees at certain levels. It has helped establish a qualitative profile of staff, forecast retirements, identify training needs, etc. It also seems to have confirmed a pattern of understaffing. Timing was such that it could feed into the 1999 budget. An Agency for Civil Service has been created under the aegis of the President of Kazakhstan.	Follow-up activities in the Government's action plan have included the development of a Personnel Management System; development and implementation of a new pay policy; determination of qualification requirements for civil service; development of procedures for competitive recruitment. Notes: Amit, who has worked extensively on this with the Kazakhs believes that if the Treasury systems had been well functioning at all levels, he would not have been in favour of a census. Despite strong opposition from ministers, the exercise has had the benefit of strong support from the President.

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Major Donor: N/A Cost: TA for two national consultants for 24 months plus $515,000 for other expenses (Annex C)			Phase II: health and education employees in all other oblasts. Confirmation was awaited by 6/99.		Counterparts with whom the Bank has worked have been excellent.

KOSOVO

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: KOSOVO, ECA Donor Project (if applicable): ? Project Contact: Paul Crowe, DFID consultant Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?	After 10 years under Milosovic, a UN transitional administration is present in Kosovo, (UNMK) establishing a civil service to be run by local Kosovars. DFID have established a payroll project for all public servants – the payroll is developing out of an attempt to pay a stipend to those who have been working – will eventually move over to a salary system.	The payroll database will form the basis for the personnel database. once this has been tested, the project will resume after identify user requirements, approx size as agreed and fund required. At this point ghostworkers will be identified (at same time as ID cards are developed) and linked to payroll.	Requirements are still developing. No employee lists in place – concurrent personnel project – link up at later date.	Too early to say.	Too early to say.

LITHUANIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: LITHUANIA ECA Donor Project (if applicable): ? Project Contact: Ramunas Linartes, Civil Servants Registry Division Ministry of Interior Oras@vrsrm.lt Implementing Agency: GoL Level & Coverage: ? Major Donor: ? Cost: ?	A census as such has not been undertaken but since 1997 a database (civil service register) has been in operation.	The data is used for planning and analytical purposes and to improve civil service reform.	A questionnaire was sent to all officials. A Fox Pro computer programme was sent to every department. Those without computers were sent hard copies. Database updated on a regular basis. By law data has to be entered up three days after a person has entered or left the civil service. Data pertains to those working in central government agencies (ministries, departments, agencies, inspections), county administrations and local governments (25,000 is the latest figure).		A new database is planned for 2002 and definition of civil servants will be broadened to include those who receive their salary from state or municipal budget (current data from Central Statistical Office suggests this 320,000 employees).

ROMANIA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: ROMANIA, ECA Donor Project (if applicable): ? Project Contact: Jens Moeller (consultant) and Mr Pandelas, General Director, General Direction for Policies, Strategies and International Relations, CSNA Tel. 40.1.212.2991 Implementing Agency: CSNA Level & Coverage: ? Major Donor: EU (Phare Programme) Cost: ?	A reform programme was embarked on 10 years ago but was postponed to December 1999 when the Parliament passed Law 88 regarding the status of the Civil Service. Support to the Civil Service National Agency in Designing and Implementing a Civil Service Reform Project (10 month project ends in Nov 2001). – aims to strengthen the capacity of CSNA, to draft secondary legislation, to establish a civil servant register and provide IT systems for the establishment of a CS database (circa September 01).	Personnel Database – to provide exact figs on CS in central and local government which currently do not exist (expect to register 200,000 – 300,000 – figure from regional and local budget holders.	Data inputting will not start until after October 2001 once the 50 computers are purchased – data expected to be submitted by public authorities/departments on floppy disks. Currently nothing exists to process the data. CSNA sent a questionnaire to central and local public administration institutions (basic personal details and training needs).	Four thousand questionnaires have been received so far.	Cannot say at this stage.

LEBANON

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: LEBANON, MNA Census Year: Ongoing Donor Project: WB Admin. Rehab. Project, FY96 Contact: Mrs Hend el-Khatib, GoL hkhatib@omsar.gov.lb Implementing Agency: Civil Service Board (non-teacher census); Center for Education Research & Development of Ministry of Ed. (educational personnel) Consulting Firm: ? Level and Coverage: All remunerated personnel of central government, including teachers, daily and contractual employees.	Post-conflict administrative rehabilitation. Shortage of qualified civil servants and excess of under-qualified daily workers; aging civil service with an average age of 54. Bank assistance was to be provided in the context of the government's National Administrative Rehabilitation Programme (NARP).	A prerequisite to the reform process. Identify and remove ghost employees from payroll and correct other irregularities Update and improve personnel data N.B. no mention of establishment of computerised payroll database.	Inputs financed: Computers, Consultants, IT/informatic support Questionnaire distributed to each employee for completion Data Entry. Crosschecks with existing system for irregularities, which were to be either explained or confirmed. Irregular names either entered in the census or excluded and listed on an "irregularity report" Follow-up action was to include removal from payroll to criminal penalties. Census constitutes complete database with appropriate summary tables, and accompanying irregularity report. Database to be verified against Ministry of Finance payroll. Suspension of pay, public announcements for in-person verification.	Government sources say that the census has not yet been carried out: USAID seems to have helped establish a system for conducting the census. However, there seems to have been debate about the coverage, which does not include daily workers, contractual hires and teachers, as well as about the questionnaire, which is under review. Also, this process seems to have been held up by debate over where the database will be housed – in the Civil Service Council or the Presidency of the Council of Ministers. They are also in the process of studying all civil service personal files in parallel.	As is apparent from the previous column, it is too early to tell. However the project document is useful in providing an idea of the basic methodology.

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Major Donor: WB Cost: $0.8m (for completion of full census of all public employees, some already underway with USAID funding)			Planned Timetable: Completion of questionnaires (10/95). Completion of manual data entry (3/96). Computerised CS database (6/96). Verification against MoF payroll (10/96). Irregularities removed from payroll (10/96). A Civil Service database covering all non-educational personnel was already underway, with USAID funding and assistance from State University of NY at Albany. The Bank's funding was to carry out census of educational personnel in a compatible way, and merge the databases.		

YEMEN

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: YEMEN, MNA Census Year: 1999 Donor Project (if applicable): WB's Civil Service Modernization Project, FY2000, TAL, follows up upon the census to establish a personnel information management system. Project TM &/or Contact: Linda Van Gelder Giulio de Tomasso Implementing Agency: Government of Yemen Consulting Firm: Exclusively local hires Level & Coverage: Full civil service including Public Enterprises. Major Donor: UNDP Cost: Under $500,000 – records collection	Excessive wage bill (14% of GDP, 35% of government expenditure). Aggregate public sector employment in 1999 was 4% of population and 14% of labour force. "Bloated civil service with extremely low pay scales, low capacity, opaque hiring and promotion practices, and virtually absent enforcement mechanisms." From project document) Extremely poor management and availability personnel information: either missing or not filed in relevant location Strategic Framework of civil service reform adopted by GoY in 1998.	To establish a count of civil servants Remove ghost workers, identify surplus workers, retirees and double dippers. Develop a "biometrics" system Form the base of information for establishing a computerised employee database to keep up-to-date information on staff to be used to ensure accurate application of salary levels, promotions and retirement.	Not a traditional "headcount" type census. Instead a census of personnel records. In the first stage, all personnel records were sorted out: Key required documents were determined, files were checked to assess completeness, matched up to relevant payroll and transferred to relevant location. Pilot was conducted for a week and a half. Then full scale rollout, where census takers went out and "counted" personnel files. Filled out standard form based on information in files, which were sent back to capital. This process of record collection took six weeks. Data entry into a computerised system took about a year. These data were checked against payroll.	A count of the employees was obtained. It is now three years after the process began. And while it has been long and laborious, the former TM views it as a success. It was explicitly designed not to be a one-shot event. It was integrally linked with the creation of a computerised, standardised payroll system, employee database, and relevant rules and regulations.	The more traditional "Headcount" type census had been tried three times in the past, but had never taken off the ground. TM feels that this approaches, though unusual, and perhaps less thorough, was more effective: (a) It was designed and implemented almost exclusively by the Yemenis. (b) It was a highly depersonalised process, much safer and more implementable, because confrontations of alleged ghost workers and double dippers would have been very dangerous in Yemeni context. Recently, the tender has been announced for the creation of the biometrics system which will be based on fingerprint identification.

ARGENTINA

Country, Date, Context	Background	Objectives	Inputs, Methodology & Timetable	Status & Outcomes	Follow-up, Sustainability, Impact
Country, Region: ARGENTINA LATIN AMERICA Donor Project (if applicable): ? Project Contact: Dr Oscar Oszlak oscar.oszlak@top.org.ar Implementing Agency: ? Level & Coverage: ? Major Donor: ? Cost: ?		Government of Argentina used the census method to create data for a personnel database in 1978.	Each government agency had to submit regular reports on employees. 1984 – Central database created and linked to payroll information. Every month, payroll information was sent from the 30-40 different payroll systems on a batch basis. Payments are only authorised once these are received.	Suspended over time. Still in use to date (similar systems are thought to be replicated in Brazil and El Salvador)	Impossible to maintain and update regularly.

ANNEX 2

CASE STUDY 1

GHANA

Cletus Azangweo/
International Records Management Trust

PART I: PRE 1991

Background

The post independence period in Ghana saw a dramatic increase in the size of the Civil Service with an annual average growth rate of 14% in the 1970's. By the early 1980s it had expanded to about five times its original size. Fraudulent practices such as 'ghosting' - the tendency to employ absentee workers and make use of their salaries for personal gain is one factor known to have contributed to the inflated civil service.

The Civil Service was faced with the problem of low average remuneration for Civil Servants, under employment, inefficiency and ineffectiveness in the delivery of services. These negative tendencies naturally militated against any meaningful attempts at development and growth in the country as was witnessed in the 1980s.

In the context of international technical co-operation, the condition for granting structural adjustment loans included the reduction of Civil Service numbers. However, during the period 1970-1985, there was no available information as to the size of the Civil Service. Therefore, under the Public Sector Management Programme, a headcount of public servants was undertaken in 1986. Censuses of 1987, 1988 and 1990 were undertaken with the aim of reducing the number of civil servants.

The 1986 census

Context

The Civil Service staff list until its demise in 1976, provided the name, date of birth, educational qualification, date of appointment, postings, title of post salary range etc of every civil servant. Unfortunately this list ceased to be issued in 1976. Payroll information from the Controller and Accountant General's Department could not be relied upon because of incomplete and erroneous data owing to inaction on resignations, terminations and transfers. Records were either non-existent or inconsistent. No reliable data was available, however by 1985, the estimated population of personnel in the public service was about 320,000.

The Head of the Office of the Civil Service under the Civil Service Component of the Public Sector Management of the World Bank's Public Sector Programme then ordered a headcount of personnel in the service by January 1986, concurrently with other employees in the public sector.

Purpose

The exercise involved preparing staff lists and identifying excess labour in the Civil Service for redeployment. In accordance with the target agreed with the World Bank, the redeployment programme was to involve staff reductions at the rate of 5% per annum for 1987, 1988 and 1989 (approximately 15,000 per annum).

Methodology

Questionnaires were prepared and sent to all the 10 regions to be completed by governmental organisations in respect of their employees. The exercise was to be executed over a period of four weeks. There was some indifference on the part of some heads, and a team therefore had to be sent round to collect the results. Two vehicles and four people were assigned to the task of collecting the missing data.

Results

The census provided a total number of 317,654 civil servants was made up as follows:

?	Civil Service	139,287
?	Ghana Education Service (Ministry of Education)	153,959
?	Police Service (Ministry of Interior)	14,297
?	Prisons Service (Ministry of Interior)	3,685
?	Judicial Service (Ministry of Justice)	2,962
?	Audit Service (Extra-Ministerial)	1,504
?	Fire Service (Ministry of Interior)	1,960

Following a reconciliation of the census figures with print out figures of pay rolls from the Accountant-General's office an actual figure of 307,000 was established as follows:

?	Civil Service	113,976
?	Ghana Education Service (GES)	143,482
?	District/City Councils	41,493
?	Other Services	8,996

Impact

It was clear from the trend that there was a heavy wage bill in certain grades and that it was possible to cut off 5% in the following categories in both the Civil Service, GES and the District Councils.

?	Labourers Grade	5,000
?	Clerical Officers Grade	5,000
?	Higher Executive Officers Grade	5,000

? Principal Secretaries Grade 5,000

To achieve the expected reduction, the following measures were pursued:

? Maintain the Freeze on Employment

? Encourage Voluntary Retirement of Personnel who want to take advantage of the exercise

? Enforce Normal Retirement Age

? Institute Staff Audit Check

It also became possible to identify over-aged public servants (those over 60 years but still in the service) and to have them compulsorily retired. This was a condition for the activation of the structural adjustment credit negotiated between the Ghana Government and the World Bank.

The revelations from the census also led to the appointment of a committee under the chairmanship of the secretary for Labour and Social Welfare for the labour redeployment exercise. The committee identified the following strategies:

? identifying numbers and actual persons per grade per organisation to be cross-deployed, redeployed or retrenched

? programming the cross-deployments, training / retraining, redeployment and retrenchment;

? detailing out the compensation scheme for the redeployables and retrenchables

? forming the total cost of the entire labour redeployment exercise and the spread of funding over the 1987 budget year.

A crash programme for spot checks on nominal rolls was mounted immediately for the purpose of exposing ghost names.

The 1987 and 1988 Censuses

Context

These censuses were designed to establish an authoritative and useful database both for the functional and redeployment study and for other components of the Civil Service reform programme. They were payroll-based.

Purpose

To enable an analysis of the staff into the various grades of the Civil Service in order to provide some rational basis for identifying the excess labour and to redistribute manpower of comparable skills between surplus and deficit administrative units.

To obtain the following data for a comprehensive computerised manpower database in respect of every civil servant:

- payroll staff number
- name
- gross pay
- grade (according to a standard nomenclature)
- sex
- date of birth
- date of first appointment
- date of appointment to present grade
- employing ministry
- region.

Methodology

The approach adopted was basically through the issue of circulars and forms to be filled by officers under the supervision of their heads of departments, ministers of state, regional ministers and district chief executives. The census forms were sent out to all pay points throughout the country with monthly pay vouchers. Officers were instructed by the Controller and Accountant General's Office to refuse to issue pay to staff members who had not completed the census forms. The pay officers were given a briefing when they came to Accra to collect the pay vouchers, but they had no formal training as such.

Reminders for the prompt return of the forms were also made through wireless messages to regions and districts.

Results and Analysis

The response to the exercise was encouraging. The overall response rate was approximately 97% which is very satisfactory given the logistical difficulties involved in issuing and returning completed forms.

The data collected provided for the first time a profile of the Ghana Civil Service comprising the following:

- A total of 131,000 civil servants on the payroll at the end of August 1987. Of these, approximately 2,200 were no longer actually employed at the pay point concerned and of these more than 1,500 had actually left the Civil Service (ie ghost workers).

- 59% of the Ghana Civil Service was under the age of 40. About 6,500 within five years of compulsory retirement. (The scope for reducing the size of the Civil Service through natural wastage was therefore limited)

- The age distribution of the Civil Service workforce showed that fifty per cent of staff were 30 and 45 years old and had a length of service of about 10 years. Consequently, career prospects and advancement opportunities were likely to be reduced amongst these staff. In turn this might result in a lack of motivation and potential loss of staff from this age group.

- 45% of the staff had held their post for more than six years. 1,529 civil servants were over the retirement age of 60 years. 4,452 staff failed to declare their age.

- A total of 3,461 civil servants identified by the exercise were no longer at the payroll point at the time of the census and over a thousand staff on the payroll couldn't be fully accounted for.

- Civil service employment was concentrated in Greater Accra and the other major urban centres. 28% of the Civil Service is located in Greater Accra even though Accra contains less than 12% of the total population.

- Civil Service employment was heavily concentrated in a small number of ministries. Approximately 30% of the total was accounted for the Ministry of Health alone, and a further 9% each by the Ministry of Agriculture and the Ministry of Local Government and Social Welfare. If one includes the 31,000 staff employed in the Regional and District Administrations then 78% of the Civil Service was accounted for by the five largest ministries.

- A large proportion of civil servants are concentrated in basic unskilled manual occupations. More than 20% of the entire Civil Service were labourers (including conservancy labourers) and a further 15% were watchmen, drivers, messengers, security guards and cleaners. Again the importance of the health sector was shown by the fact that over 10% of the Civil Service were nursing or hospital staff.

- In terms of the functional and redeployment study perhaps the most important conclusion was that large-scale manpower reductions could be achieved by concentrating solely on low priority ministries and central/headquarters function. Achieving the Governments objective of 15,000 staff reductions would therefore require significant cuts in staff both at Regional/District level and in key sectoral ministries such as Health and Agriculture.

Impact

At the end of the 1988 exercise, there were 125,182 civil servants on the payroll of which 124,148 staff were identified by the data collection exercise. This indicated that there had been an overall decrease in staff numbers of approximately 7,000 in the year up to August 1988. The major reductions of staff were limited to all small ministries and regions. In others, there were staff increases.

3,068 new civil servants had been recruited since the last census. Reductions in staff, primarily through redeployment, appear to have occurred mainly in the younger age groups in the Civil Service. The results indicated that the number of staff under 30 years old had gone down by approximately 5,500, compared with a reduction of just over 2,000 in those over 30 years.

To ensure the availability of reliable information there was clearly a need to install machinery and systems to update the data regularly.

Nevertheless the exercise had yielded useful data concerning the composition of the Civil Service. The data on numbers of staff by ministry and grade was utilised to help develop the detailed manpower targets for the Civil Service. This paved the way for the conduct of an exercise to find out the minimum levels of staff that should be employed in every Government establishment in the ministries, departments, regions, districts and the town/village/areas.

This exercise was believed to have helped to identify most of the surplus labour force in the public administration system. The relevant manpower data was issued to each ministry to assist them both in identifying areas for redeployment and in gaining a better understanding of their existing manpower stock as a basis for forward planning.

The success of both the 1987 and 1988 Data Collection exercises in identifying over 99% of civil servants on the payroll, clearly established the viability of using the payroll as a basis for setting up effective personnel records in the Civil Service. This formed the basis for the 1990 Census which leading to the introduction of the Integrated Payroll/Personnel Database project in 1995.

Despite the worsening budgetary situation there was evidence of very significant recruitment: in more than 21,000 civil servants were shown as having less than five years service. Moreover, since July 1986 (when a selective recruitment ban was introduced) more than 3,000 civil servants had joined the civil service. Doubts were thus raised as to whether staff reductions were in line with redeployment policy, and whether the policy had been targeted accurately. It was agreed that the most straightforward way of ensuring regular updating of the information would be to add fields to the existing payroll input forms to allow payroll clerks to give the reason for an individual joining or leaving the Civil Service and to include additional personnel details for all staff. This was however believed to be too ambitious a change in the short term given that the existing payroll input forms were not always completed satisfactorily.

The 1990 Census

Context

The format for the data collection exercise in 1990 was different from the global censuses conducted in 1987/1988. It was recognised that the problem with the previous two exercises was in up-dating the results. However, the time required to conduct such a major census would be considerable, and officers might become unwilling to furnish the same details repeatedly. The Government of Ghana therefore sought a method to up-date the August 1988 exercise, without a further massive data collection process.

Methodology

It was proposed to use PPMD[1] resources to create first a senior and then a junior staff list by combining the 1988 database with information from the October 1989 payroll. The draft lists were then verified by requiring personnel officers in each ministry to check that all details are correct. This involved deleting staff no longer at their ministry, and filling in details (date of birth, date of first appointment) for staff who have joined their ministry or been transferred since August 1988. The senior staff lists and junior staff list were handled separately so that the processing of returns on senior staff can be completed quickly. Any lessons learnt during the senior staff list exercise could then also be used when completing the junior staff list, and briefing sessions were provided for personnel officers engaged in the exercise. It was anticipated that the senior list could be produced for distribution in January/February 1991. The junior staff list exercise was expected to take longer because of the larger numbers involved, with production scheduled for March/April 1991.

Strengths and Weaknesses

The creation of a staff list through use of the payroll with verification by personnel officers, rather than conducting a further data collection exercise on the 1987/8 model was considered preferable because:

- It avoided a major field exercise.
- It combined 1988 data with the October 1989 payroll to minimise the amount of data to be collected, hence considerably speeding up the exercise.
- It could be regularly updated using the Controller and Accountant General's system and a microcomputer in the PPMD.
- It would produce a physical senior and junior staff list which could be distributed and inspected by all civil servants, and systematically amended using quarterly staff gazettes.

[1] The Personnel and Payroll Management Division of the Office of the Head of the Civil Service.

? Data obtained could be manipulated in PPMD using their new microcomputer to enable manpower planning, linkage with MSD establishment recommendations, and manpower budgeting procedures.

It was, however, observed that there were certain deficiencies stemming from excessive duplication of personnel information and the poor state of most of the personnel registries where the data was stored and maintained. There was also a problem with the flow of information from the regions to the Central Headquarters in Accra. There was no reconciliation between the staff lists and the payroll because the payroll, which might be expected to be useful source of data on all civil service members, was only able to yield a crude total headcount as a result of the way in which it was structured.

PART II: POST 1991

Integrated Personnel and Payroll Database (IPPD)

While the annual census approach was seen as the most practical short-term solution to the lack of aggregate manpower data, it was recognised that in the longer term, priority should be the installation of machinery and systems to generate and update data on a regular basis. It was in view of this that a study commissioned in 1989 recommended, among other things, the development of a computerised Integrated Personnel/Payroll Database (IPPD), finally approved in April 1990.

At the time, the IPPD was the largest and most complex IT project ever undertaken by the Government of Ghana. The database combines information about staff salaries and personnel data to perform the payroll function for the public service (serving the Controller and Accountant General's (CAG) Department) as well as to support the central human resources functions (serving the Office of Head of Civil Service (OHGS) Ghana Education Service (GES) and Audit Service). The IPPD replaced a part of the existing mainframe payroll database. It is believed to be the first of its kind in West Africa.

The IPPD Project was scheduled to take 18 months to complete. In retrospect this was highly optimistic, given both the technical obstacles and the prevailing culture of the Ghana Civil Service. The project timetable was extended several times, and in the end IPPD went live in July 1995, 45 months after the project began. The delays included software procurement problems (1992/3) and computer hardware procurement problems (1993), largely caused by the need to adhere to World Bank procurement rules and procedures.

In addition there were more deep-seated constraints. The technical capacity of the IT staff in the CAG was limited and poorly managed.[2] The UNIX operating system had never been used in Ghana before, and the IT staff did not have the necessary technical knowledge of the system. The decision to use UNIX was a high risk strategy that contributed to a loss of confidence in the project by the IT staff.

Ownership of the project at a senior level proved to be a serious problem from the beginning. Disagreements between the OHCs and the CAG were reflected at all levels.

[2] The project also drew on staff in OHCS and GES for report designing, report generation, screen designing etc.

When an independent review[3] was carried out in August 1996 it was found that a range of technical problems continued to hinder the exploitation of the system to its full potential. Data input staff were idle for up to half the month. The review concluded that until the technical problems are overcome, the plan to extend access to IPPD to all the ministries and the 110 regions and districts is impractical. As at May 2001, the IPPD coverage had been extended beyond the OHCS, and CAG to the Ministries of Education, Health, Agriculture, Lands and Forestry, Local Government and the Audit Service, but remains far short of its original target.

Undoubtedly the information in the IPPD is richer in content and of a higher quality than in the CAG payroll system it replaced. By including both established and non-established posts, Civil Service and subvented organisations in one personnel database it is possible for the first time to provide a comprehensive picture of government employees. IPPD successfully supports the control of staff numbers by making it easier to generate the requisite statistics for the annual manpower budget hearings. It should be noted, however, that IPPD did not come into operation until after the bulk of staff cuts had already been implemented.

Data Sources for IPPD

From the very beginning the Coppers and Lybrand consultants responsible for the IPPD Project recognised that source data for the system would be critical for success. The strategy that they recommended built upon data collected before the project had begun:

> In our experience, however, data collection in Ghana is very time consuming. We therefore think there are major benefits to be gained from continuing to verify and consolidate the information that is already available as the project proceeds rather than waiting until towards the end of the project in 1992/93.[4]

Before IPPD went live in July 1995 work had been carried out in the OHCS Service to gather the necessary data and enter them on an 'interim system'. The method used was to send out census forms to the pay point throughout the country with the monthly pay vouchers. The pay officers were instructed by the CAG to refuse to issue pay to staff members who had not completed the census form. The pay officers were given a briefing when they came to Accra to collect the pay vouchers, but they have no formal training. The system depended heavily upon the integrity of the pay officers and the individual civil servants completing of the forms. The returns were not verified against personnel files for accuracy.

It was recognised at the time that this was a 'rough and ready' approach justified by the limited numbers of staff that could be allocated to the task. Only a small number of foreign consultants and about 30 Ghanaians (drawn mainly from the Manpower Services Division) could be spared to survey over 100,000 civil servants. The exercise did serve to flush out some 'ghosts' from the payroll and provided useful data for modelling changes in the grading and pay structure. However, these data were not sufficiently accurate for personnel management purposes or for maintaining a 'ghost free' payroll. This point may not have been fully appreciated in later years as the personnel of the project team changed.

[3] Thurston and Cain ibid p84-86 and 96-98.
[4] Coopers and Lybrand. 'Integrated Personnel/Payroll Database Study: Proposal'. December 19990. p9.

Subsequently, basic personnel information on 70,000 civil servants from the payroll database supplemented by data drawn from the census forms (eg geographical location and post title) was entered on a Dbase III database loaded on a microcomputer. In 1990 the consultants stated that the database was largely integrated with the payroll (this turned out to be a misunderstanding) and that it was being systematically upgraded through redesigned payroll input forms (for new recruits), the incorporation of data held in other computer data banks (eg Ministry of Health) and an exercise involving checking personnel files (for information about incumbents). The later exercise was dropped as the project progressed. In practice, although the database was updated by means of data from the monthly payroll transactions, it was never possible to reconcile the discrepancies completely. Finally, it proved impossible to obtain details of geographical location and job title for several thousand individuals in the districts. The experience when IPPD went live would suggest that the data gathering process was not sufficiently accurate to be reliable for payroll purposes.

The project team took the data source and data conversion issue seriously and produced a detailed strategy paper that analysed the data available and recommended strategies for populating the database with personnel and payroll data.[5] The report highlighted issues which were to prove crucial when the project was implemented. It divided the information the system required into three categories: payroll, pensions and personnel. The majority of payroll information was to be found in the existing computerised CAG Payroll System, which contained information on about 292,000 employees in the Civil Service, GES and other public agencies. Likewise, pensions information was largely to be found in the existing computerised CAG Pensions system. In both these cases it was recommended that the information be transferred electronically to the IPPD at the appropriate time.

The team identified a number of other problems with data sources. The old CAG Payroll database contained a large amount of inaccurate data, either 'ghosts' or inaccuracies about real employees. There was a risk that conversion might disrupt the existing payroll and pensions systems, leading to late or incorrect salary payments or financial loss and embarrassment to the Government. Moreover, there was 'a significant risk that the payroll system may have additional problems because the development staff responsible for the system have no training and are poorly managed'.[6] For this reason most of the data conversion work was to be carried out by a team in the OHCS to reduce the reliance on the computer staff in the CAG.

The personnel information was a more formidable problem. Limited personnel information on 70,000 civil servants was held on the Dbase III system. In addition, GES had data on 153,000 employees on questionnaire forms completed by the staff themselves during a survey carried out in April 1991. The Ministry of Health had data on 37,000 employees, also on questionnaire forms, collected during a survey carried out in October and December 1991. Some of the information needed for IPPD had not been collected at all. The possibility of using personnel files as a data source was rejected at an early stage and not investigated further.

The personnel information sub-system was considered of lesser importance compared to the data needed for the payroll and pensions modules. It was recognised that analyses might be made on the basis of incorrect data. Notably;

[5] IPPD Project, Data Conversion Strategy, 28 February 1992.
[6] *Ibid*, para 2.03

- employees could be allocated to the wrong management unit
- employees could be allocated to the wrong grade
- personnel data could be wrong
- personnel could be omitted.

However, the immediate consequences would be much less serious than a failure to pay large numbers of staff or pensioners.

This analysis accurately predicted the dire consequences of allowing inaccurate payroll data to be entered on to the IPPD system, but it underestimated both the difficulties in obtaining accurate personnel data and their importance for the long-term usefulness of IPPD. If the only objective of IPPD was to produce a better payroll system, it would probably have been cheaper and far less risky to upgrade the old CAG payroll database. The justification for creating an Integrated personnel and payroll database was to strengthen human resource management of the public service. For this to be achieved accurate personnel data were essential.

The decision to reject a strategy of making the paper personnel files (the primary data source for personnel information) more accessible and more complete, in favour of gathering the requisite information by means of survey forms, had long-term implications for the accuracy of the database and for personnel management generally. In practice the quality of the personnel data relied heavily upon the integrity of the individuals completing the forms. The original 1991 data collection survey forms mentioned above were not checked against the establishment files held in the Personnel Registry of OHCS, or any other personnel files.

The decision not to use personnel files was taken because the establishment files were judged to be incomplete, and some of the files were missing. Moreover, the establishment files did not cover non-pensionable posts. The poor state of personnel records is confirmed by a report of a survey carried out by the International Records Management Trust[7] on registry organisation and management in October 1990. Personnel records were surveyed in the OHCS, Public Services Commission, Controller and Accountant General's Department and Auditor General's Department. The report concluded that 'Despite the quantity of paper generated, nowhere are the personal files of civil servants anywhere near complete.' The personnel records maintained by departments were more complete than those of OHCS and they did include files on staff in non-established posts. However, the logistics of locating, identifying and filling in the gaps in the manual records of over a quarter of a million staff would have been a near impossible exercise within the 18 months originally envisaged for the project.

With the benefit of hindsight, the decision not to use personnel files for checking the date of birth and the date of appointment to the civil service was a mistake. The former date determines date of retirement and the latter has a bearing on pensionable benefits. As IPPD is used to generate lists of staff about to retire, it was in the interest of individuals wishing to avoid retiring to enter false dates. Moreover, without checking personnel files it is impossible to identify breaks in an individual's service, which could lead to overpayment of

[7] Formerly the Overseas Records Management Trust, Report GH1, p14.

pension benefits. At the time of the data collection exercise it was widely believed that the implementation of IPPD would lead to the abolition of the establishment files, or at least lead to a major running down of the central OHCS Personnel Registry. The notion that there would be no means of checking data submitted on the data entry forms may have encouraged false entries.

DATA SOURCES FOR IPPD BEFORE ITS LAUNCH IN JULY 1995

Full Scale Implementation

IPPD went live in July 1995 and replaced part of the old CAG database as the system for running the payroll. Initially there were serious teething problems and large numbers of staff did not receive pay cheques for several months. In part this reflected delays in data being input on to the system. The story attracted the attention of the press and questions were asked in Parliament.

Overall the accuracy of the data on IPPD is variable. Some fields contained accurate, up-to-date information, while other fields are unused or contain out-of-date data. The difference depends largely upon the incentives for encouraging staff and managers to believe that it is in their interest to maintain the accuracy of the information held on the database. In general, information about salaries is accurate. In contrast, there is virtually no incentive to maintain the accuracy of information which does not have a financial component. The data most affected are 'pure' personnel information such as qualifications, training courses attended, etc, which is essential if the system is to be used for personnel management.

The system is mainly used for the payroll. The most satisfied customer in 1996 was found to be GES, which is by far the largest user of IPPD. The Civil Service Performance Improvement Programme team also found the reports beneficial, especially for manpower planning; Directors of Administration and Statistics saw the value of IPPD and appeared to be using data from the system. In contrast, Personnel Directors continued to rely very largely on the traditional paper systems. The CAG expressed dissatisfaction with the payroll function, especially in connection with the length of time taken to run payroll and with system security. The Head of Civil Service was the least satisfied: receiving virtually no reports of value to him.

Conclusion

IPPD is a qualified success. However, it would appear to have had little impact upon improving the efficiency, responsiveness and timeliness of personnel administration. Firstly, senior managers appeared to have little understanding of the advantages of a computerised system for analyzing human resource issues. Secondly, from the outset the project sought to minimize the use of manual personnel records and substantially reduce registry functions. The project was based on a lack of appreciation of the significance of paper files.

Finally, the absence of credible emergency arrangements in the event that the computer room at the Controller and Accountant General's Department becomes inoperative was a cause for great concern. This highlights the risks in concentrating strategic information in a single system unless adequate steps are taken to protect it. Also given the vulnerability of a

networked system to unauthorised access, it could be dangerous to put confidential personnel information on the database.

The IPPD project illustrates the complexity of installing and running a computerised system, in conditions where the requisite skills are in short supply and where the existing records are in a poor state.

There is no doubt that the objective of reducing the size of the Civil Service from the censuses conducted in Ghana has to a very large extent, been achieved. A most recent IPPD report on the size of the Civil Service is 76,951 as against 139,287 in the 1986 census.

It cannot however, be said that the reduction in size has brought about a more effective and efficient Civil Service, "properly compensated and continuously motivated" than before.

It cannot also be said that steps will not be taken to further reduce the size and cost of the Civil Service. The Minister of Labour and Social Welfare in a television programme on the occasion of the May Day 2001 celebration hinted at the possibility of further retrenchment in the Civil Service of Ghana.

CASE STUDY 2

NIGERIA

International Records Management Trust

Background

In July 2000, the Federal Government of Nigeria directed the Office of the Head of Civil Service of the Federation, in conjunction with the Federal Ministry of Finance and the Office of the Accountant General of the Federation to conduct a manpower audit in the Federal Civil Service. A high-level implementation committee was set up to oversee the exercise with a technical committee to monitor the implementation. The audit exercise commenced in July 2000 and involved thirty local consultants.

The goal of the audit was to produce an accurate record, department by department, of actual staff on strength, through a headcount of each location, and then to use this information to eliminate fraud and correct the payroll. The consultants were asked to examine the total strength of the Federal Civil Service and to prepare a comprehensive nominal role for each ministry and extra-ministerial department. They were to:

- determine the actual personnel costs for the period January 1997 to June 2000
- assess the extent of financial loss through the ghost worker phenomenon and other financial practices by comparing the numbers of workers on the ground with the number on the payroll
- study the existing record keeping arrangements with a view to identifying strengths and weaknesses
- make recommendations on how the Government could eliminate the incidence of ghost workers and other financial malpractices relating to the management of the Federal payroll.

Methodology

The methodology involved questionnaires, physical headcount, preparation of comprehensive nominal rolls, scanning photographs and using file numbers to locate the relevant individuals, compiling actual personnel costs and calculating personnel costs based on headcounts as reflected in the nominal roll.

A programme-facilitating meeting was held to analyse the different tasks involved in the audit exercise. Afterwards, familiarisation visits were made to the headquarters of the agencies where preliminary information was obtained. There were meetings with permanent secretaries where the objectives of the exercise were discussed. Subsequently, directors of personnel management mapped out ways and means of achieving the objectives of counting staff.

University graduate auditors were employed and given training on practical data collection, spreadsheet preparation, simple evaluation of staff payroll records and psychological questioning. The audit staff were deployed in adequate numbers to each state covered by the exercise.

A special instructional guide was prepared to elicit relevant data from the field. The guide contained a step-by-step approach required by auditors in eliciting the required information. The guide also included the formats of the nominal role and the personnel emoluments records.

The field data was captured in two main spreadsheets, the nominal roll and the accounting record spreadsheets. The nominal roll and the accounting records were processed using Microsoft Excel software. Recent colour passport photographs were collected from each worker and scanned. Each photograph was then assigned a unique image file number. The image file number was recorded in the nominal roll so as to facilitate easy access to the photograph of each member of staff when required. The same software was used for the accounting records prepared in matrices showing the total gross personal emoluments of all staff between January 1997 and June 2000.

There were two main computer programmes designed for the project. The first concerned the reconciliation of pertinent facts for a given member of staff in relation to four data sources:

? the employment or personnel file

? the personnel emoluments records

? the payroll of the Ministry or extra-ministerial department

? pre-audit questionnaires.

The aim was to compare the audit results with existing data and to identify areas of, and reasons for, variance.

The staff appeared in groups before a panel of auditors. Each was required to appear with his or her employment file, which contained, or should have contained relevant documents that showed that he or she was a *bona fide* employee. The file was intended to serve as a control, and an effort was made to match the facts in the file and those on the completed questionnaires.

The second computerised programme was developed to reconcile the photographs with the other records. The images were linked to the personnel file numbers.

During the interviews, staff were questioned about the facts in the file as well as in the questionnaire in order to authenticate the information provided. The interviews were conducted in the open so that other staff members could corroborate the information supplied by the interviewee.

Staff Audit Exercise

The consultants worked in two teams of approximately fifteen consultants each. Each team was co-ordinated by a managing consultant under the overall supervision of the Ministry of Establishments and Management Services (MEMS). The total exercise entailed several hundred audit staff visiting federal government offices throughout the country. It was not a sample survey, but a full headcount, planned on an expected Federal Civil Service size of

around 240,000. It covered all the ministries and extra-ministerial departments of the Federal Government, but excluded the armed forces, commercial and sub-vented parastatals. Effectively, it embraced all the organizations where payrolls were funded with personal emoluments allocations in the Federal Government budget. In terms of total Federal Government public employees, the staff audit covered about 45%.

The process started with MEMS providing the consultants with a list of all Federal Government establishments in both Abuja and the states. Each location was sent a supply of standard forms for every member of staff to complete. The forms captured basic details, comprising:

- name
- sex
- designation
- qualification
- grade level/step
- personnel file number
- date of birth
- date of first appointment
- date of confirmation of appointment
- date of present appointment
- department
- location
- state of origin
- local government
- remarks
- image file number.

The consultants were equipped with a letter from the Head of the Civil Service of the Federation requiring cooperation. On the day of the physical headcount, which coincided with pay day, staff was asked to line up and present their forms, together with a coloured photograph and their personal file. The forms were then checked against the information on file and signed off by the staff's supervisor. Disparities and suspect submissions were noted, and the data were transferred to a spread sheet. In addition, information on pay was entered

on to a second spreadsheet, cross-checking the forms with the departmental personnel emolument cards for each staff member.

Impediments to Accurate Data Gathering

Despite their careful preparations, the consultants encountered a number of constraints in attempting to gather accurate information. These included general constraints, deliberate manipulation and weak personnel information. Many of the first two sets of constraints had been anticipated, and a number of safeguards had been put in place. The latter was a systemic issue that required a longer-term solution.

General Constraints

? The questionnaires administered to workers did not include spaces for state of origin and local government area, and this necessitated repeat calls on the respondents for the information.

? The workers did not properly complete the questionnaires and this resulted in repeat calls for information.

? Many workers, ignorant of some of the data relating to them, gave conflicting information about their age, personnel file number, date of present appointment, etc.

? Many of the workers were absent from the headcount as a result of being on leave, on training courses, hospitalised or away from their stations for other reasons.

Deliberate Manipulation

A range of problems was encountered. Notably:

? Service numbers of deceased staff were sold.

? Some officers used numbers that were not assigned to them.

? In some cases several people shared the same numbers.

? Some workers were found to be engaged in multiple employment.

? Workers completed the questionnaire improperly.

Weak Personnel Information

The consultants were expected to compile and collate information about all existing staff through their personnel files, personnel emolument records and the comprehensive nominal roll. There were major problems in extracting information due to the poor state of the available documents. The major difficulties were:

- Numbering systems were inconsistent between and within ministries.
- Records were irregular and inconsistent.
- Some workers claimed that original letters had been sent for gazetting.
- Many of the staff who presented sworn affidavits for the loss of appointment letters were found to be ghost workers.
- Records were defective in many cases – there were many gaps in vital information.
- Poor record keeping had resulted in mutilation of documents, incomplete information, often essential information.
- Some personnel files were not available or could not be found at all.
- The centralised personnel records system made it difficult to isolate the zonal records.
- Adequate and proper records had not been kept by the accounts departments.

Findings

Having completed the fieldwork, the consultants drew up revised versions of departmental nominal polls (staff on strength) and payrolls.[1] Names were eliminated from the payroll that did not appear in the revised nominal roll. In addition, using the information in the staff forms, the consultants checked the accuracy of staff emoluments by comparing the payroll with what an officer is entitled to receive in pay and with allowances on the basis of the completed forms. A check was also made on the authenticity and completeness of appointment documentation. While a staff audit is not foolproof (documents can be falsified, complicit supervisors can vouch for incorrect personnel records, absentee staff can be tipped to turn up for the headcount) the exercise should allow the Government to re-validate all appointments in the course of drawing up more credible nominal rolls.

The main focus of the staff audit or census was a headcount, to determine who was actually on strength and whether names on a payroll belonged to genuine public employees. The picture that emerged is that payroll fraud in Nigeria is not simply a matter of ghost workers alone - fictitious names on departmental payrolls which, once detected, can be eliminated immediately - but rather a spectrum of different types of abuse.

[1] A typical ministry will have a Department of Personnel Management responsible for maintaining the nominal roll of the ministry, and dealing with appointments, transfers, performance reviews, training, discipline etc. There will also be a Department of Finance and Supplies, within which there will be an Accounts Division, responsible for operating the payroll. The payroll should reflect information in PE cards, derived from staff personnel files maintained by the Personnel Department. In headquarters departments the roll itself typically will be a computer print-out listing each officer: name, personnel number, basic salary, allowances, gross pay. In remote locations the payroll may be manually maintained.

Traditional ghost workers exist, and the audit identified them, but there were other forms of payroll irregularity, which the consultants termed 'non-apparent ghosts'. Examples of this category were staff who had more than one job in the public sector, staff who enjoyed levels of pay or allowances greater than their entitlement, staff who might be on temporary absence (eg studying) yet continued to draw full salary, and staff who had been transferred or retired. There are also staff whose appointment documentation was incomplete, either because the proper processes were deliberately sidestepped, or because of slipshod paperwork. In certain departments where jobs command high control rents, the problem appeared not to be so much one of ghost workers, as impersonation or inheritance of posts. Finally, there were staff who had appointment letters, but for whom no real job existed because they had been recruited in contravention to position controls. It was clear that control systems had broken down in the last decade of military rule, encouraging collusion between hirer and employee.

There appeared to be two related but separate problems. The first was payroll abuse, such as ghosts and fraudulent allowances. A staff audit is the correct instrument to diagnose payroll abuse, and the solution is payroll cleansing using the corrected nominal rolls and personal forms. The second problem is hiring in excess of authorised positions. Here the staff concerned are real people, not ghosts, and cannot be 'cleansed' from the payroll so readily. Unless the staff audit detected fraudulent documentation, the individuals concerned were *bonafide* civil servants. In order to determine whether recruitment has been in excess of approved positions it will be necessary to carry out another exercise to check nominal rolls against establishment registries.

Given the spectrum of different forms of payroll irregularity, it is likely that it will take many months of sustained action to translate findings into cleaned payrolls. There is a need both to set in train the required payroll corrections and to address the fiscal impact of the wage bill blow-out. The first task should be to translate the staff audit findings into an action plan to reduce the pressure on the wage bill and restore control over personnel. To the extent that there are fictitious names on the payrolls of departments, these can be eliminated at a stroke, and the fraud ended. People enjoying levels of salary or allowances in excess of entitlements will have payments stopped, though this will take longer, since there may be a need to investigate particular cases further and hear appeals. Staff members who are double dipping most likely should be subject to disciplinary action, though investigations may well be required, together with a process to handle appeals. Staff who have been hired without the full documentation are a difficult category to evaluate and may also have to be dealt with on a case by case basis.

CASE STUDY 3

TANZANIA

David Sawe
Dickson Maimu

BACKGROUND

The Government of Tanzania's concern about the size of its public service can be traced back to 1985 and the launch of an initiative to establish appropriate manning levels and reduce the size of the civil service. This resulted in a largely unsatisfactory retrenchment exercise that, more than anything else, highlighted an urgent need to institute more effective personnel administration and establishment controls. At this time, the Government payroll was being processed by the Ministry of Finance, using software that had been installed in the 1960's, while all personnel and establishment matters were being managed independently by the Civil Service Department (CSD) entirely on the basis of paper-based files. No links existed between the two systems.

Against this background, the Civil Service Department developed a census exercise for the entire public service, which was held on 30th March 1988.

Public Service Census 1988

The main objectives of this exercise were to:

- identify "ghost workers" in the government payroll
- determine the exact size and composition of the civil service
- provide a complete data base on the profiles of every government employee.

This was a major undertaking, and its objectives were only partially achieved. While, some 16,000 ghost workers were identified out of a total of around 350,000 employees, follow-up attempts to reconcile the census data with the payroll were unsuccessful. It was not therefore possible to demonstrate that the identified ghost workers were effectively removed from the payroll. Although the census provided what were regarded as fairly reliable statistics on the overall size and composition of the public service, its database was, inevitably, a snapshot that remained frozen in time, because no process had been developed for regular updates beyond that initial census exercise. Worse, the data on individual employees was of very limited value due to technical constraints in the way the database had been designed.

What went wrong? At the outset, a very extensive list of desirable data items was drawn up as a "wish-list" of information to be collected. A broad-based consultation was then held, including census experts, computer database experts and international questionnaire-design consultants. The team strongly recommended that a much smaller single-page questionnaire should be used, designed specifically to facilitate quick understanding by both the respondents and the computer data-entry operators. The design would need to be constrained by the efficient record-length of the target computer's hardware and software to be used (ie 128 characters). The questionnaire should have tick-boxes for yes/no or multiple-choice answers and its design should aim to minimise the risk of possible misinterpretation of questions as well as the need for manual encoding of answers. An initial series of output reports was designed, with payroll links. It was agreed that the colossal logistics of doing this exercise for the first time meant that the efficiency of data collection/entry needed to be optimised if the likelihood of success were to be maximised.

Although a complete questionnaire and accompanying database structure was developed by the team to meet the objectives outlined above, it was subsequently over-ruled. A new extended design was developed, without preliminary consultations, and many of the data items of the earlier wish-list were reinstituted. Low-level computer programmers were then instructed to develop database structures for this design as a matter of urgency and to advise on the design of the questionnaire. As these programmers were not briefed on the earlier team work, this resulted in major design weaknesses in terms of both the questionnaire's usability and the efficiency of the database structures. This had a significant and inevitable impact on the logistics of running the exercise, and the subsequent usability of the data – including, critically, the capability of linking it to the payroll. An explanation of how, or why, the initial design came to be over-ruled is unavailable but this experience revealed clearly to those involved the value of placing great effort on design work.

Subsequent efforts to limit the size of the payroll have focussed on procedural measures which addressed mainly the recruitment processes. Several policy instruments were promulgated to better focus the lines of responsibility. But, in the meantime, the ability to monitor trends in the wage bill, numbers of employees and the presence of ghost workers, on a continuous basis, remained a desired, but elusive objective.

National Pay Day Exercise

On 28th February 1994, the government conducted the "National Pay Day exercise". Led by the Ministry of Finance, its primary objective was to confirm valid employees and detect any ghost workers in the payroll. The results of the exercise revealed some 13,360 cases of ghost workers, whereby this exercise's key objective was largely achieved. However, a secondary objective of the exercise was to build a personnel database by capturing key data on employees for entry into the payroll database. This did not happen, and doubts were subsequently expressed as to whether the Government Computer Department (GCD) could actually have undertaken the work given their known capacity problems in terms of both the computer platform and the additional skill requirements. Furthermore, though this was never proven, suspicions were voiced that both the 1988 and the 1994 data collections were being deliberately frustrated by influential computer staff who had a stake in the continued existence of ghost workers.

Permanent Control and Information Systems Project

With the start of the Civil Service Reform Programme in 1995, there was a recognition that significant information gaps needed to be addressed, including:

- personnel data for informing management decision making
- current establishment structures and occupancy status of posts
- distribution of institutional authority and responsibilities
- performance and discipline in the public service

- current policies and controls on the recruitment process
- national deployment of public service employees
- planning and budgetary control to personnel expenditure
- analysis of the impact of retrenchment on the wage bill
- qualification and skills of personnel in the service
- attrition rates and succession planning in the service.

It was widely accepted that the most pervasive problem in personnel control and management in the Tanzania Civil Service was the lack of systematic data collection and dissemination on government employees. This led directly to a crisis in personnel information management and an inability to target the wage bill and plan human resource deployment. Other problems that resulted included the inability to pay retiring employees their pensions punctually and to even monitor and evaluate any policy measures or regulations on employment issues. The whole system lacked checks and balances, to the detriment of its accountability and transparency.

Therefore, a special initiative, called the Personnel Control and Information Systems Project, was included in the Civil Service Reform Programme to look into ways of alleviating these problems. Donor funding was made available by DFID, UK. The project's initial focus was to improve systems for personnel control and data management at a selected number of pilot ministries. However, after a consultative process the project team sought and received management agreement that it would be more effective to focus on improving the central systems in order to derive the greatest potential benefits as rapidly and comprehensively as possible.

Payroll Verification Exercise

Hence, in 1996, the project ran a payroll verification exercise, where employers were requested to sign off against payroll-sourced lists for each employee whose presence they could personally attest. In addition, an explanation was requested for those names that were not being recognised. Some 6,000 payroll deletions then ensued, out of which some 500 were subsequently reinstated after being able to prove the validity of their existence on the payroll. Next, in 1997, two audits were carried out separately, examining the financial issues and the computer system. Inherent weaknesses were noted and the operational requirements were documented in order to procure a new and considerably more functional system, integrating human resource management with payroll administration.

Integrated Human Resource and Payroll System

In the meantime, a fresh data-collection exercise was designed, taking into account the lessons of 1988 census and 1994 payday. Here a single-page (with single no-carbon copy) was selected. A very broad consultative and testing process was followed. The final questionnaire focused only on capturing the very limited data set that was needed to ensure

that the employee could legitimately be paid a salary or, in due course, a timely pension. Each questionnaire would be signed by the employee, by his/her head of section and by the department head. The questionnaires were accompanied by special data-sheets for the management of paper-flow and by a special manual which also included data codes and process management guidelines. Following their own suggestion, employers were allowed a three-month timeframe to fill and return the questionnaires with their supporting data-sheets. A national tender was floated to find a locally-based partner to take responsibility for the data-entry process.

The first batch of 300,000 questionnaires were released in March 1998 (using the payroll process for handling the delivery of documents to all employers) and by December of that year, the data was received on a CD-ROM, ready to use. Along the way, some 4,000 ghost workers were officially deleted from the payroll. However, as had also been the case during the 1996 personnel verification exercise, the monthly volume of requests for deletion transactions rose dramatically once the exercise was launched. Therefore, the number of known ghost workers that were deleted is generally assumed to be considerably less than the reality.

As the data was in a PC database, numerous reports and statistical analyses could be made, and the information could be readily correlated to the payroll. It was eventually merged with the payroll when the newly installed Integrated Human Resource and Payroll system was first activated in October 1999 prior to beginning the process of shadow-runs. The new system had its first live-run at 70% capacity in April 2000, and took on 100% as of the following month. On 20th June 2000, His Excellency, President of the United Republic of Tanzania, Mr Benjamin William Mkapa, officially inaugurated the new system.

At present, the data from the integrated system has been printed onto the data-entry form and sent into the field for validation. The Government is now in position to know the exact nature of its workforce and wage bill on a monthly basis (as well as to undertake initiatives that target specific sub-groups therein).

CASE STUDY 4

SIERRA LEONE

Roland Ulreich

INTRODUCTION

Many unfortunate factors have led to the current poor state of personnel management of the 'civil service and thus to an imbalance between the wage bill (Le* 80.8 billion for fiscal year 2000) and goods and services (Le* 46.2 billion) delivered by government:

? ten years of internal conflict/civil war

? lack and/or breakdown of personnel control systems - many records destroyed by fire

? unprofessional employment practices (politics, nepotism, tribalism, etc.)

? corrupt fraudulent practices (ghost workers, wrong appointments, etc.)

? responsibilities for personnel management are scattered without a clear definition of functions and authority levels over several institutions

? abuse of power, lack of discipline, managerial skills and know-how in the supervising ranks

• no consequences / legal implications for officers under investigation for, or even found guilty of fraudulent and corrupt practices

? immature decision-making, unclear employment policies.

Considering the fact that the Sierra Leonean economy is mainly donor-driven, the verification of the civil service including all teachers and the police force was considered a high priority task by the major funding agencies (World Bank, International Monetary Fund, African Development Bank, European Union) and was imposed on the government of Sierra Leone as a precondition for the approval of a structural adjustment package (budget-support) disbursed by the European Union.

A further condition of the EU was the appointment of consultants, selected and funded by the European Union (DG8), into key-financial positions in government in order to ensure proper accounting procedures and to limit the breeding ground for corrupt practices. Thus, the position of the Accountant General has been assigned to an independent expert in government accounting, who has recruited a team of highly qualified accountants and IT-experts in order to tackle the tasks involved in establishing preventive measures, transparency and accountability.

The initiative to conduct a verification exercise and implement control mechanisms came from the Accountant General. Fully supported by the Commission in Brussels he hired an IT-Consultant with experience in government-personnel-management and relevant project-background in African countries to project-manage the task (Terms of Reference - ANNEX D). The Accountant General, who served as a project team-leader, has played a vital role in increasing the general administrative discipline and conduct regarding personnel issues: his refusal to pay salaries and wages to any staff prior to full and positive verification and documentation, which is perfectly in line with the Public Budgeting and Accounting Act, has made success possible. Obviously this has created enormous political pressure on the entire department. The Establishment Secretary went in line with this approach and helped to

push for more transparency and observation of rules and regulations regarding personnel issues.

It is left to hope that the local successor to the Accountant General, expected to take over by 2001, will be able to weather political attacks and furthermore bear the social pressure, which he will certainly be more exposed to than any European consultant.

The goal of the verification exercise was to establish a clean, controllable and "ghost worker-free" payroll in order to pay salaries and wages to civil service personnel timely and accurately, correctly account for the payments, build a comprehensive Computerised Personnel Management Information System and derive the relevant financial data for the monthly computation of the "gross-to-net" through the AGD.

The photographic identification cards, issued to every civil servant, teacher and member of the police force serve as an additional verification upon distribution of cards and collection of payment.

MODE OF OPERATIONS

Registration Process:

The staff to be registered is requested to present a fully filled form, containing all personnel and financial data. The accountants in all departments registered were asked to add/check the financial information (grade, scale, program code, unit, allowances, deductions) before submission/photographic registration. Furthermore, a copy of documentary evidence, supporting a legitimate employment status, was requested for. No staff was registered/ photographed without these documents attached to the registration form. Many of these appointment letters were found to be fictitious upon further investigation. The registration form for civil servants is enclosed in ANNEX D. The forms for the teaching staff and the police forms are slightly different, specific to the respective departments.

The registration also captures the unit-level within the departments/ministries. The heads of units are requested to fill a form, listing down all staff of her/his unit present for photographic registration. This information forms the cost-centers to be paid.

Verification Process:

After the photographic registration, the registration papers (See ANNEX E - Main Registration Form) are filed, sorted by PIN and the data entered into a Computerised Personnel Management System (see below: "IT-Background"). This CPMIS then outputs reports, which the verification team uses to check the information supplied against the records held in the archives of the ESO and/or original records held by the Departments/ Ministries. The filled and signed registration forms together with the copied appointment documents serve as a basis for the investigations.

All eight members of the team in charge with this crucial part of the project are ESO staff, including two former (retired) records officers with great experience. The team is advised to ensure for the integrity of core-data of all civil servants, with special emphasis on the following:

- authenticity of appointment document
- appointing Authority - legitimacy of appointment procedures
- correct Names, Date of Birth
- starting Date of First Appointment
- correct Designation and Salary-Grade/Scale (for payroll).

The file number of the original appointment-document is also collected and stored in the Database for future reference.

Senior Establishment Officers are supervising the team and approve the output. These officially authorised results of the verification team are then entered into the CPMIS. The Establishment Secretary's Office has only authorised authentic staff with legitimate employment status for transfer to the payroll-system.

Approval of Data by the Departments

Upon completion of the above steps, the CSV Office submits a "gross-to-net" report to the account-sections of the individual ministries. There the sub-accountants and personnel officers check for correct financial data (basic salaries, allowances, deductions, tax rates) and ensure that all staff is listed under the correct pay-location and Division-Code. This set of data is then signed off by each responsible vote controller (usually the Permanent Secretary) and comes back to the CSV Office. The validation and entry of the financial data returned from the Departments is the last step before the data required for the computation of the payroll can be extracted and prepared for transfer to the AGD payroll system, which resides on a networked SCO-UNLX platform

Data Transfer to AGD Payroll System

This electronic transfer of the payroll-related data has turned out to work well with simple 3½" floppy disc and data in text-format. Once the data resides in the AGD-accounting system, it will only be transferred the other way in the future in order to keep the CPMIS up to date with financial information. Administration, entry, retrieval and maintenance of all other personnel-related data stored in the CPMIS are the responsibility of the ESO.

After positive verification and inclusion on the payroll (transfer of data to AGD), the staff is entitled to be issued a photographic ID-Card.

All requests for changes to the payroll data (originating from the Departments/Ministries) have to be approved by the ESO prior to submission to the AGD. Only documented and duly authorised changes are entered into the accounting system and processed for payment. The Flow-Chart "RECTIFICATION OF WRONG PAYROLL-DATA", ANNEX B shows the steps involved.

Ministry of Education - Teachers

In the particular case of the Ministry of Education (completion 98% country-wide), a committee was established, within the Ministry of Education and assigned the responsibility to verify the teaching staff, with emphasis on designations, grades/scale-points and staff-ceilings for schools. The members of this committee have been highly instrumental and have accompanied the registration team on all field registrations to the accessible areas to do an on-site inspection of the teaching staff. All requests for changes to the data (originating from the schools) have to undergo verification through this committee before payment through the AGD payroll. The Ministry of Education has so far failed to produce any appointment-documents, staff lists or records on teachers or comprehensive registration papers for schools. The manual voucher seems to be the only available set of data on teachers (MS-Access Database).

The number of teachers on the payroll climbed close to 23,000 teachers in early 1999 - although this was a period of insecurity and general mayhem in the entire country and obviously audits of the payments were impossible. Apparently such "opportunities" were seized by corrupt officers to increase their income through fraudulent inflation of the payroll. Shortly after this peak in the teacher's payroll, accountants and the permanent secretary of the Ministry of Education were charged with payroll-fraud, even leading to prison sentences.

Cooperation with other Departments

As shown in ANNEX A, the project requires the cooperation of all Departments involved. In this particular case, the excellent cooperation between the ESO and the AGD (through the CSV Office) and the institutional strength of the AGD has leveled the ground for a successful outcome.

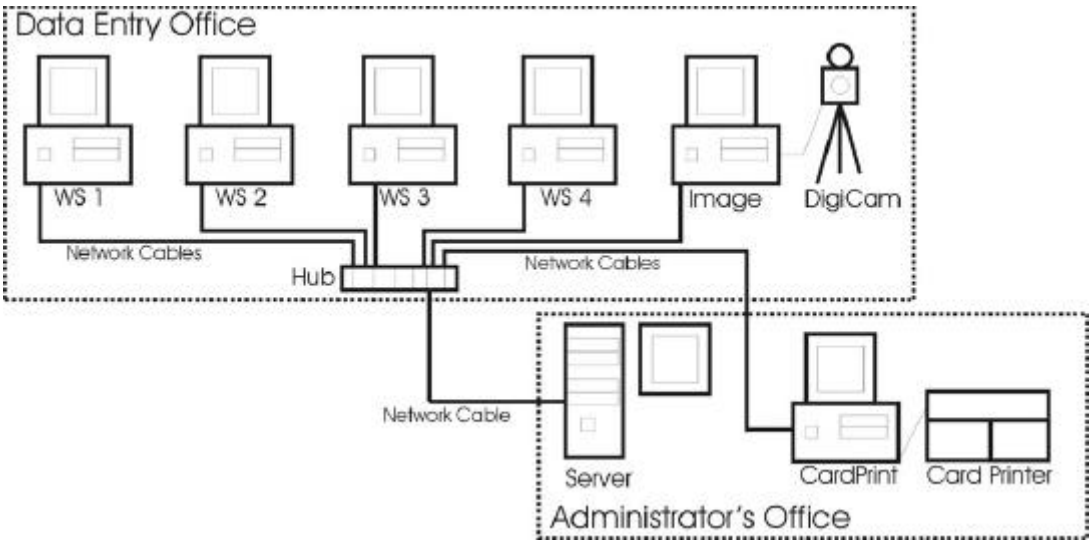
The Anti Corruption Commission (ACC) has largely stayed in the background until recently the influx of independent consultants has pushed for more involvement in payroll-fraud investigations.

The Accountants, Paymasters and Personnel Managers in the ministries have understood, accepted and adopted to the systems and procedures put in place.

IT-BACKGROUND

Hardware / Network Facilities

The CPMIS is a networked database system (MS Access), with the central database residing on a server. Data entry is carried out through workstations with a Windows 95 user interface. Currently the network connects seven PCs and two laptop computers.



The network has been installed by the IT-staff of the Accountant General's Department under supervision of the project manager. The system administrator has received all required training to operate and troubleshoot the entire IT-Infrastructure within the CSV Office. Support is available trough the technician at the AGD. Various equipment and accessories have been added during the project period.

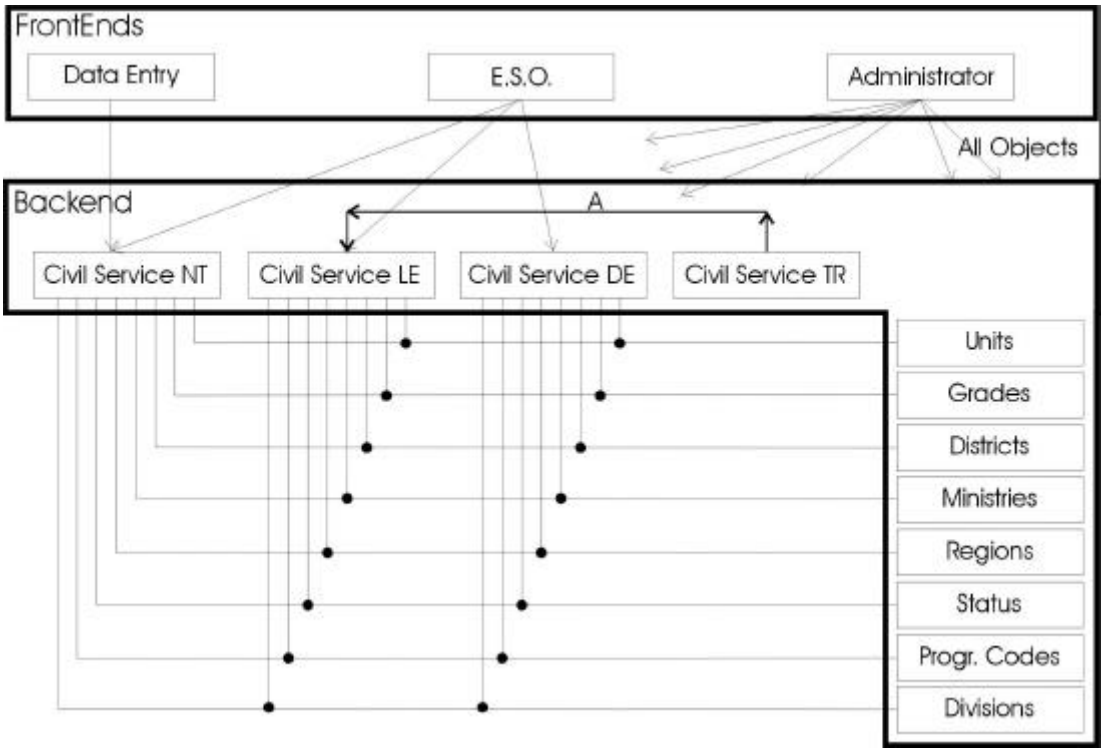
Software

The database is designed on Microsoft Access 2000 and allows for multiple data entry and retrieval (several users within the computer-network can simultaneously operate the system). All information (images and database records) is stored centrally on the server. The application is not compiled but left open for modification and further development by the System Administrator. The System Administrator has been trained extensively on MS Access, database issues related to networking and on the process of data transfer to the AGD payroll system.

The staff assigned with the task of data entry and records-management has received continuous training throughout the project period and is well familiar with the user interface. Furthermore, the Project Manager has produced a manual.

The user interface of the CPMIS is custom tailored to the needs of the ESO and gives instant access to all personnel information including the digital photograph of each individual. Furthermore the system outputs numerous reports (staff lists, full-page-information-sheets with the image of the person and all other data available, statistics, retirement-reports on month-end, etc...) and standard letters of the ESO (appointment letters, retirement letters, etc).

The following graphic illustrates the design of the database structure. The different user-interfaces show the database-utilization of the various user-groups.



NOTE: The process marked "A" represents the transfer of civil-servant-records from the transfer-table to the Live Employees – Table. This transfer of data will be carried out by the Administrator upon confirmation from the AGD that all records have been successfully loaded into the AGD payroll-system.

TABLE	DATA CONTAINED
Civil Servants NT	Civil Servants not yet transferred to the AG-payroll – awaiting ESO verification and approval. This table holds all personnel-information as gathered from the registration form
Civil Servants LE	Civil Servants, which are LIVE in the AG-payroll – currently on AGD payroll; same data structure and field properties as above
Civil Servants DE	Civil Servants, which are LELETED in the AG-payroll (eg retired), same data structure and field properties as above
Civil Servants TR	Civil Servants, which are TO BE TRANSFERRED to the AG-payroll as LIVE EMPLOYEES – approved, authentic, awaiting transfer for inclusion on the AGD payroll by the 20th of each month., same data structure and field properties as above
Units	All Units within all Departments
Grades	Salary Grades / Scales and Tax Rates of the Civil Service
Districts	All Districts country-wide
Ministries	All Ministries / Departments within the Civil Service
Regions	4 Regions (N, W, S, E)
Status	Table containing all possible employee statuses
Division Codes	All Division Codes within all Divisions
Divisions	All Divisions

Data Security

The method of securing the database-application used in this CPMIS is called user-level security. This form of security is similar to methods used in most network systems. The two main reasons to use user-level security are to:

? prevent users from inadvertently breaking an application by changing tables, queries, forms, reports, and/or macros on which the application depends

? protect sensitive data in the database.

All users are required to identify themselves by an ID, and then type a password when they start Microsoft Access. This is to regulate how users are allowed to work with the database. For example, members of the Data-Entry group might be allowed to view, enter or modify data through the main-form but cannot print the Information-Sheet or print payroll information. The system administrator of this CPMIS is the only person authorised to access all objects in the database, assign Ids and passwords and distribute them to each user.

Full backups are scheduled weekly and one full set of databases and images is kept safe outside the country with two-monthly backup-intervals. JAZ-Discs with a storage capacity of 2 GB each serve as storage media.

ID - Card Equipment

The digital images are captured with a stationery DataCard Auto-2000 camera, connected to a PC in the premises of the Establishment Secretary and with digital mobile cameras and laptops in the field. The software automatically stores a unique Personnel Identification Number, name, designation, date of issue, work-unit and the location and name of the image file. The close to 45,000 digital images taken during the project period constitute roughly l5GigaByte of data.

The ID Cards are printed on DataCard equipment. The same equipment is proven technology and in use for the issuance of National ID-Cards in Nigeria, Driver's Licenses in Ghana and various applications in several other African countries.

SOCIAL IMPACTS

The project has certainly created difficult situations for numerous people, whether legitimate employees or no. For example:

? teachers having to wait for their backlogs and salaries until the verification process was concluded - some still left out in the bush

? staff who were actually working and considered themselves as legitimate but had their appointment letters issued by senior administrators within the ministries (eg driven by nepotism), which is a violation of a Government Circular – only the ESO can issue appointments. Such cases were removed from the payrolls

? travel to the CSV-registration-locations in the provinces is an enormous problem for most staff to undergo the registration

? one thousand and five hundred staff are above retirement-age and ought to be retired.

The positive impacts:

- payments of salaries and wages are on time and accurate
- basic salaries and wages have been increased as a result of the savings through the reduction of the overall staff number
- employees receive fast and competent help in case of problems with salary-matters. The help-desk-officer at the AGD can determine exactly and in seconds, where each payment went
- adjustment of irregularities (overpayment) - Fair payroll

FINANCIAL IMPACTS

The figures for the average salaries in the following table are based on NET salaries.

Category	Average Monthly Net-Salary	No. of Staff (03/2001)	Total
Civil Servants	Le 62,257.00	13,802	Le 859,271,114.00
Teachers	Le 134,450.00	18,313	Le 2,462,182,850.00
Police	Le 54,680.00	7,529	Le 411,685,720.00
Total	**Le 85,122.00**	**39,644**	**Le 3,733,139,684.00**

Through the verification-exercise, the overall staff strength has decreased by 6181 staff as against the August 1999 payroll. In numbers, the savings are roughly Le 600,000,000 - per month. At an exchange rate of 1: 2000 this equals US$ 300,000 - per month = US$ 3,600,000 - per year.

As some allowances, deductions, salary-grades and tax-percentages have been changed since the reference point of August 1999 the exact financial savings are difficult to calculate. The actual savings will certainly be slightly less than the above numbers because since the reference point for the calculation (August 1999), basic salaries have increased, additional allowances were introduced and tax-rates were reduced to the favour of the employees. The average NET salaries have increased by roughly 25% in the said period. This is mostly due to the introduction of a Le 20,000 - transport allowance for all civil servants and teachers (only permanent and pensionable staff) and a reduction of income tax rates.

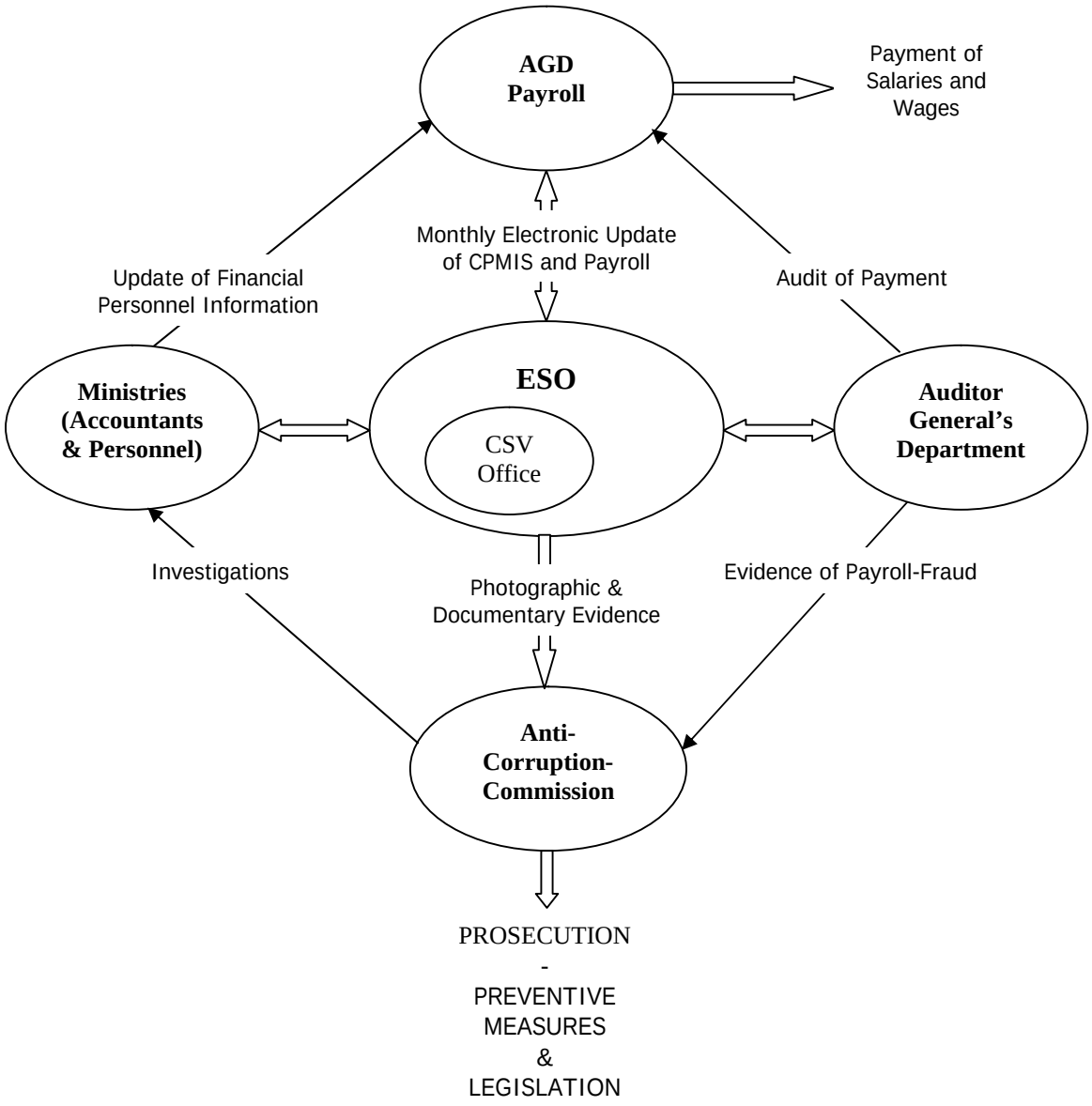
Furthermore it could be observed that in the past the staff strength of departments (especially teachers) used to vary significantly within a short period of time. These fluctuations would allow choosing a reference-point, which would make the above results even more favourable. August 99 was selected because it represents a reasonable average. Also exchange rates Le/US$ were similar to current rates.

PROJECT COSTS

The following is a rough breakdown of project costs for a project-duration of two years (45,000 Persons registered and cards produced - country-wide).

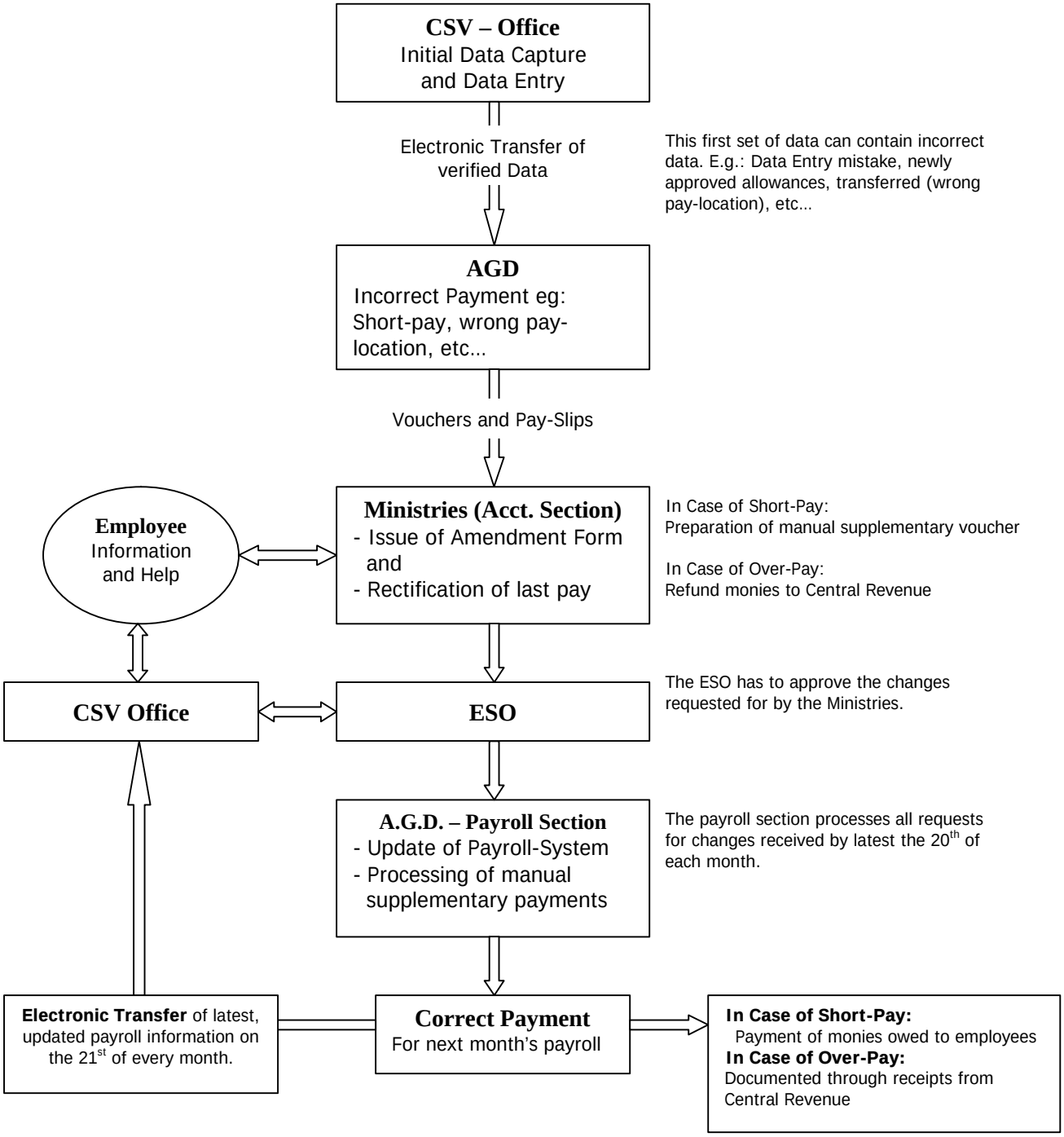
QTY	*Item*	*Cost in US$*
Personnel:		
1	IT-Consultant with personnel management and database background (See Annex D – TOR)	200,000.00
2	Local Technical Assistants w. background in computing / networking.	50,000.00
Hardware and other:		
7	Personal Computers including two laptops	12,000.00
1	Various Networking equipment, software, accessories, office-stationery supplies, computer-spares	10,000.00
1	ID-Card Printer	22,000.00
45000	Blank ID Cards, consumables, etc	25,000.00
1	Project Vehicle	30,000.00
	Total:	**$ 349,000.00**

ANNEX A: FLOW CHART – Departmental Setup and Co-operation



Abbreviations	
AGD	Accountant General's Department
CSV	Civil Service Verification Office
ESO	Establishment Secretary's Office
GOSL	Government of Sierra Leone

ANNEX B: FLOW CHART – Rectification of Incorrect Payroll-Data



All Sub-Accountants and Accountants in the Line Ministries have been instructed as to how to request for changes to the payroll and are familiar with the relevant process as shown above.

Abbreviations	
AGD	Accountant General's Department
CSV	Civil Service Verification Office
ESO	Establishment Secretary's Office
GOSL	Government of Sierra Leone

ANNEX C – TERMS OF REFERENCE

Project Manager, Civil Service Verification Government of Sierra Leone

1 Manage and supervise the process of photographic registration of civil servants, teachers and members of the police force;

2 Co-ordinate the registration schedules and registration-modalities with the departments;

3 Co-ordinate technical assistants (accts.) in the process of fact-finding and the clarification of policy-issues within the departments during the registration;

4 Manage and supervise the verification through records held at the ESO and any other hardcopy-records;

5 Manage and supervise the printing of ID Cards;

6 Software development (MS Access) for networked Personnel Management Information System;

7 Software implementation, Data management and analysis;

8 Transfer of data related to payroll from the personnel-database to the payroll-accounting system (AGD);

9 Training of local (Sierra Leonean) system operators (Windows, MS Access - data management, backup-routines, networking, ID-card-printing, etc.);

10 Technical assistance for the registration of pensioners (same technology as civil service registration);

11 Compilation of evidence to cases of payroll-fraud; coordination with the Criminal Investigations Department on the investigation of such cases;

12 Various troubleshooting within the IT infrastructure of the Accountant General's Department;

13 Report to the project-team-leader (Accountant General).

ANNEX D: MAIN REGISTRATION FORM – CSV

GOVERNMENT OF SIERRA LEONE
ACCOUNTANT GENERAL'S DEPARTMENT

CIVIL SERVANT DATA SHEET

Every government employee must complete this form.
This Form Must Not Be Duplicated! Please note that giving false information is a criminal offence!
Please attach PHOTOCOPIES of the letters of your Present Appointment and Acting Appointment (if any)

1. First/Other Name(s): .....

2. Title/Surname: .....

3. Designation: .....
Please write only your present substantive designation which must be indicated on your letter of appointment attached and not your acting

4. Employment Status: (select one) ☐Permanent & Pensionable ☐Class II Pensionable ☐ Work Service Employee

☐Temporary ☐Daily Waged ☐Contract ☐Others (state)……

PIN Code: | | **(For Official Use Only)**

6. Date of Birth:

		19….
date	*month*	*year*

7. Gender
☐Male
☐Female
Select one

8. Marital Status
☐Married
☐Single
Select one

9. Residential Address: .....

10. Residential Phone No: ..... **11. Work Place Phone No:** .....

12. Next of Kin: .....

13. Date of First Appointment:

		19…
date	*month*	*year*

14. Date of Present Appointment:

		19…
date	*month*	*year*

15. Date of letter present Appointment:

		19…
date	*month*	*year*

16. Department No.: | |

17. Programme No. | |

18. Status in the Service: ☐In Post ☐Vacation leave ☐Terminal Leave ☐Interdiction

☐Study Leave with Pay ☐ Study Leave without Pay ☐ No Pay Leave

☐ Temporary transfer (On Assignment) ☐ Sick Leave ☐Indefinite Leave

Commenced Date..... Expiry Date.....

Signature of Applicant _____ **Date** _____

Signature of Unit Head (Supervisor of the Duty Station) _____ **Date** _____

Name of Unit (Duty Station) _____

Address of Unit _____

Signature of Vote Controller _____ **Date** _____

FINANCIAL /ACCOUNTING DETAILS

FOR OFFICIAL USE ONLY! - Must be completed by the Accounts Office

Computer Number _____ **Basic Monthly Salary** _____

Salary Level: [ ] Spinal Point: [ ]

Allowances (per month)

Medical Allowance:	_____	
Transport Allowance:	_____	
Rent Allowance:	_____	
Full Acting Allowance: *	_____	_____ ESO Letter Reference and Date
Special Acting Allowance: *	_____	_____ ESO Letter Reference and Date
Responsibility Allowance: *	_____	_____ ESO Letter Reference and Date
Domestic Allowance: *	_____	_____ ESO Letter Reference and Date
Remote Area Allowance:	_____	

* Please note that the above allowances can only be paid if there is a supporting document from ESO

Deductions (per month)

Widow & Orphans Deduction:	_____
Income Tax Deduction:	_____
Union Dues Deduction:	_____
Advance Repaid Deduction:	_____
½ Pay Deduction:	_____
Light Deduction:	_____
Telephone Deduction:	_____
Rent Deduction:	_____

_____ Financial Details Entered by	_____ Date
_____ Database Entry by	_____ Date
_____ Verification / Clearance by	_____ Date
_____ Card Produced by	_____ Date

CASE STUDY 5

ZIMBABWE

Britto Chimbunde/
International Records Management Trust

PROJECT OBJECTIVES AND THEIR EVOLUTION

The Zimbabwe HRIS Project had its origins in a project by the Ministry of Public Service to computerise its personnel records. By 1989 a pilot project had been carried out which involved establishing three main computer files:

- a biographical data file, eg age
- an education file, including academic and professional qualifications
- an experience history file, covering pre-service and in-service postings, progression and incremental dates.[1]

The 1989 Public Service Commission Review recognised the potential of this database to:

- assist in manpower planning
- assist in organisation analysis
- assist in recruitment
- assist in deployment
- assist in staff development and training
- provide information for salaries
- provide information for pensions
- provide information of other employee services and benefits
- provide information of communications to staff.

The PSCR recommended that the user specification be reviewed in greater detail, and this was accepted.

The project was incorporated into the UNDP Civil Service Reform Programme under the Economic Management Concentration Area of the Third UNDP/Zimbabwe Country programme for the period 1992-96. External consultants worked in the Public Service Commission on the project from the spring of 1993. The project ran into difficulties. Counterparts were not assigned with the relevant technical skills to supervise the consultants or set appropriate performance benchmarks. On the other hand the consultancy team suffered a rapid turnover of staff, including three replacements of team leader. As a consequence the team lost its understanding of the project objectives and user needs and the project lost direction. By 1996 the work of the consultants was deemed to be unsatisfactory and the contract terminated.

[1]Report of the Public Service Review Commission of Zimbabwe, May, 1989, Main Report, Volume 1, p122.

By October 1996 a new set of consultants were being selected. The revised terms of reference reflected a subtle shift in objectives and rationale for the Human Resource Information System. The new rationale stressed the alleviation of problems with the existing manual system:

? delays in obtaining relevant information

? out-of-date information

? inaccurate information

? documents or files going missing

? expense of storing files

? lack of direct access to information kept by the Salary Service Bureau, forcing the PSC to rely heavily upon information supplied by the ministries.[2]

It is implicit in this rationale that the existing manual records would in many cases be replaced by the computerised system. Essentially this is a description of negative objectives. A more positive statement can be found in the success criteria for the project:

? The PSC will have access to a system that can record on computerised files all relevant data from which candidates applying to government jobs can be selected.

? The ministries can have access to these databases via modems so that the whole system of recruitment and selection is transparent.

? The PSC will have computerised data on candidates for promotion, including associated background information on each candidate's history of promotions (this system will be linked to pertinent data drawn from candidates' performance appraisals).

? The performance appraisal system will yield data that will be computerised -- eg on the value of the assessment for bonus purposes as well as the training required by all civil servants (which will in turn provide training institutions with knowledge about what courses Government needs).

? A system will be introduced of recording on computer files all discipline cases from which precedence (by category) can be reviewed.

? A computerised record will be available of all retrenchments by category (including all relevant details that were associated with a particular retrenchment).

? Elements of the HRIS will be interfaced with the soon-to-be-completed information system at the Salary Service Bureau.

[2]'Terms of Reference UNDP Assisted Programme ZIM/90/008;508, Project to Install a Human Resource Information System and a Management Information System In the Government of Zimbabwe, Public Service Commission', 30 January 1996, Section B.1.

? The project will develop the human resource capability to sustain/execute the HRI [human resource information] and MI [management information] systems.[3]

The document *The Zimbabwe Public Service Reform* also described the desired personnel database:

? The database will contain basic personnel information on all civil servants and those who have passed entry and promotion examinations.

? The data contained in the system will include promotion and appointment dates; academic and professional qualifications; experience and employment history; training received; and career profile information.

? The system will contain information on skills gaps in the service, so that these can be matched with gaps with the candidates against job descriptions for entry and promotion purposes. This should result in better deployment and utilisation of personnel in the service.

These criteria raise a number of issues. The first is the capacity to maintain modem links between the participating ministries.

The second is the capturing of the data to be maintained by the system. Some information, such as data about candidates applying for recruitment to the public service, would be supplied by the candidates themselves. The performance appraisal system was expected to supply data on a candidate's history of promotions and on training needs. There would be an incentive for the line ministries to complete the appraisals and send the forms to PSC if the contribution of data to HRIS could be linked to the payment of performance data related bonuses. Under the old performance appraisal system, where there was no such linkage, only a proportion of the performance appraisals was sent to the PSC.

The project objectives (especially the version outlined by *The Zimbabwe Public Service Reform* document) placed emphasis on storing data covering the entire career of civil servants while in the public service. Inevitably this would be dependent upon the accuracy and completeness of the personnel files already maintained by the public service on employees.

User Expectations for the HRIS System

Very few of the public servants interviewed in 1996 had much knowledge of the HRIS Project nor a clear picture of what it would do for them. However, virtually all the people interviewed expressed frustration with the information systems they were using. The problems can be categorised in four groups:

? Files are incomplete.

? Information takes too long to arrive.

[3]'Terms of Reference', UNDP Assisted Programme ZIM/90/008;508, Section D.1.1.

? Information is in an inconvenient form.

? Information is difficult to process or systems do not exist to process the data.

Officers in line ministries felt that information problems were exacerbated by excessive centralisation of decision-making. In particular, they felt the PSC sometimes set deadlines for the delivery of returns which failed to take into account the logistical realities of gathering information from remote stations across the country. It was felt that the PSC was too inclined to issue instructions without adequate consultation. They welcomed the policy of decentralisation of decision-making to the ministries, but argued that it could be taken further – for example, in the areas of promotions and study leave. Decentralisation would shorten communications chains and speed up decision-making.

Automation was also seen as a means of presenting information in a more convenient form. For example, there was a widespread desire (both at PSC and in line ministries) to have basic information about an individual public servant available, in summary form accessible from a desktop terminal. This would be a big improvement on the time-consuming process of requesting the file from the registry and then reading through a bulky file to extract the relevant information. This was thought to be of use in a wide variety of situations.

DATA SOURCES FOR HRIS

Local Human Resources Databases

The HRIS Project was mooted in 1989 but by 1996 had not progressed beyond the consultation stage. In the absence of concrete results, it is not surprising that individual ministries took the initiative to create their own human resources databases. Because of limited time, no attempt was made during the 1996 study to carry out a comprehensive survey of these databases. Those that are described below were encountered in the process of interviewing officials in ministries or public service agencies selected either for their size or their particular role in gathering or processing human resource-related information. It is quite possible that there are other human resources databases maintained by the public service which were not surveyed.

Office of the Comptroller and Auditor General

This is a small department of 233 established posts in 1996. Owing to an active policy of seeking donor funding for projects, the department was found to be unusually well supplied with computer equipment (87 laptops and 40 desktop PC at the time of the visit).

The department had created a human resources database using Microsoft Access software housed on a laptop PC. The database was kept secure by locking the laptop in a desk drawer when not in use. The small number of staff on the establishment made it possible to create and maintain a large number of fields on each individual (see Figure 1). The main purpose of the database was to support the personnel function by providing an overview of the staff in the department. Some fields are clearly of value for providing reports for personnel management (eg lists of staff arranged by grade or academic qualification). On the other hand some of the information recorded on the database appears to be of little benefit. For

example, the cost of entering details of the telephone numbers and addresses of next of kin of employees is probably not justified. On the rare occasions the information is needed it can be easily retrieved from the individual's personnel file.

The staff with daily responsibility for maintaining the database did not understand the difference between 'saving' a file on the internal 'hard disk' and backing up a file onto a diskette. As a result there was no up-to-date backup of the database for use in the event of a system crash.

The Comptroller and Auditor General's Department suffering from a high turnover in staff with IT expertise owing to the superior salaries offered by the private sector.

Ministry of Health

The Ministry of Health Personnel Information System (PIS) was the largest and best designed and maintained personnel database examined. It was funded by DANIDA through the World Bank as part of the family health project. Consultants were used to design the system. Work started on the system in 1989/90 and the ministry did not consult other parts of the public service. The system went live in 1993. Officials were of the opinion that because the PIS system was already established and operating, and because of the likely disruption, the ministry would be reluctant to change the PIS to make it compatible with a public service-wide Human Resources Information System run by the PSC.

The PIS was created because the existing CARDEX manual system for recording key personnel and establishment details was cumbersome to maintain and because computerised data available elsewhere (mainly the SSB payroll system) did not meet all the needs of the Ministry of Health. Thus SSB could provide lists of staff and salaries for the entire ministry, but it could not break down the information at the level of the cost unit (eg hospital and patient bed). To do this it would need accurately to relate staff salary costs to cost units. The original manual CARDEX system was not organised to provide easily some of the required kinds of information, eg lists of vacant posts or lists of posts or individuals by job category. To do this would require checking the establishment cards for each hospital and noting the relevant information and then typing it up as a report. A computerised database has the flexibility to provide this information with little difficulty.

The PIS database was maintained by the Establishment Control Unit. It kept information on the establishment of the Ministry of Health (23,000 established posts of which 21,000 posts are filled). It covered the entire health sector, excluding mission hospitals.

The database used Dbase 3+ software and resided on three personal computers. Each PC held an identical copy of the database. Access to the database was password controlled. The system was planned to be replicated at the provincial level. The PIS database was capable of producing basic information about individuals and about staffing/establishment details. It could also provide statistical reports. Several of the reports was designed to allow the personnel staff to plan their work efficiently and to be proactive. For example, there were reports on staff on probationary status for more than two years, staff whose contracts expire within one year, staff due to retire within one year, staff due for advancements and posts due for vacancy. The statistical reports included national in-post/vacancy statistics by category and in-post statistics sorted by station.

The PIS screen for keying-in information about an individual essentially replicated the CARDEX employee record card. Most of the data on PIS was found to be up-to-date except salary details, which tended to be obsolete because the Ministry of Health had difficulty obtaining timely information from the PSC. Information for the 'Station Details' screen was taken from a separate Medical Stores database. However, the main source of data for PIS was the staff files.

The main problems encountered with operating the system centred around the availability of resources rather than the design of the system or the procedures used to support it. In particular, there were difficulties in retaining trained staff because the level of compensation for staff with IT expertise was low compared to the private sector. The ministry reported losing three staff in one month out of a team of seven. Also there had been shortages of consumables (diskettes, computer paper, printer ribbons) and shortages of funds to pay for equipment maintenance. The provinces reverted to using the manual system because there was insufficient capacity to run both the new accounts system and PIS on the same PC. The accounts system was considered the priority and so the PIS was removed from the computers used by the provinces.

Ministry of Education

In about 1984-85 a human resources database was created in the Ministry of Education, with technical support from the Central Computing Services, using customised Wang VHS software. It was used to produce statistics about schools and to hold information about personnel such as date of birth, date of joining the public service, qualifications, etc. It was not judged to be a success. The failure has been attributed variously to:

? unrealistically ambitious objectives

? insufficient attention to user needs

? insufficient attention to the way information would be fed into the system.

The result was that it was difficult to gain access to the data or to produce useful reports from the database. The database thus became a data store rather than an actively used database.

In 1988 the Ministry of Education was divided to create two new ministries: Education and Higher Education. The assets and equipment were split between the two ministries, which undermined the operation of the database. Finally, when the Wang company encountered financial difficulties the account went to IBM Bedford Investments. Unfortunately the new company showed little enthusiasm for supporting the software.

Public Service Commission

The PSC relies principally on manual systems to maintain information about employees. The main focus of planning for its future IT systems is the HRIS Project. However, the human resources area does maintain a number of small databases to facilitate its work. These are in areas where the PSC has particular needs for information to track and plan activities: a

recruitment database, study leave database (officers on study leave) and an expatriate database (to manage expatriate staff working in the public service on fixed-term contracts).

It is understood that in 2000, the Public Service Commission embarked on a manpower audit which involved headcounts. Public Service Commission personnel appeared unannounced armed with the official establishment list. Since this was done when civil servants were on strike, it is not clear whether this was an establishment control measure or to identify absentees. It is also unclear whether all ministries and work stations were visited in this manner.

Comparison of data structures

The fields in the databases described above are compared in Figure 1 in order to identify points of similarity and difference. There is a high level of similarity between the kinds of fields on each database. This includes particulars such as appointment dates, work unit and qualification. This is not surprising given that the parent organisations are all part of the same public service which has standardised terms and conditions and which remains to a large degree centralised in the management of personnel.

Nonetheless, no one field was common to all the databases. There were sufficient differences of structure and coding of the data to pose an obstacle to eventual harmonising of the data on to a single database, or series of databases sharing the same data structure. For example the databases of the Comptroller and Auditor General and the Ministry of Health and the PSC Expatriate database all had a separate field for Surname. The Comptroller and Auditor General and the PSC Expatriate databases had a field for Forenames, but the Ministry of Health had a field for Initial instead. In contrast, the PSC Recruitment Register, PSC Officers Study Leave and the Salary Service Bureau had fields which combine Surname and Initials. Moreover, sometimes the field label was the same, but the values were different. Thus the Ministry of Health expresses the date of birth as dd/mm/yyyy whereas the PSC Expatriate database used dd/mm/yy.

There were some surprising omissions. Only the Ministry of Health database had a field for the gender of the staff. This would suggest either that the other databases are being used for a very limited set of tasks, or that information relating to gender is seldom required for human resource planning. This is interesting because the Public Service Review Commission report of 1989 specifically complained that it had not been able to obtain statistics on age, grade and gender and stated that it believed that this information would be essential for proactive human resource management in the public service. Moreover, greater efforts to ensure a provincial and gender balance in promotion were an explicit objective of the reforms of the personnel function. This requirement did not appear to have permeated down to the operational level in the design of information systems.

It is not clear why the Ministry of Health had a field for gender, but an official interviewed said that the design of the system was influenced by external examples and that relatively little attention had been paid to similar projects within the public service. It is tempting to suppose that the database project (which was funded by the World Bank using external consultants) might be influenced by the World Bank's interest in gathering statistics relating to gender, particularly to measure the impact of programmes on women.

Sharing of Information Between Public Service Databases

The proliferation of databases in the public service of Zimbabwe continues. The Ministry of Health and Child Welfare has recently (2001) recommended the design of a new computerised personnel information system to hold details of all establishment posts by station, details of all staff in post (giving name, sex, nationality, date of birth, identification numbers, dates of appointment, advancement and gaining of new qualifications, date and reason for leaving public service or date of transfer to another Ministry. The programme is expected to provide reports of the data in detail (eg listings) and summary, statistical information (eg numbers employed by posit title, grade and location).

This system is intended to be the source of all staffing information in the ministry superceding all existing requests to the districts for staffing returns. Increasing decentralisation will provide the need and also the opportunity for more databases, because ever more powerful personal computers and software make it comparatively cheap and easy. Moreover external consultants working on donor-assisted projects tend to advocate using information technology to address personnel management problems.

The survey reported above illustrates that even databases using common source material and operating in the same procedural and organisational context can be designed in ways that are an obstacle to sharing information between them. A standard, identifying core fields and data coding structures for information about individuals, would greatly facilitate sharing of information between databases maintained both within and outside the public service. The Salary Services Bureau has made a start by drawing up a standard which has been accepted by all private sector banks for transfer of salaries payments. A comparison of the standard against the personnel databases used in the public service (Figure 1) indicates that it may not be entirely suitable for the needs of other users in the public service because very few fields needed for human resources management purposes are specified in the standard. At the very least it would need to be expanded. Nonetheless this initiative by SSB illustrates the potential of standardisation.

Figure 1: Comparison of Human Resource Database

Field	Comptroller & Auditor General	Ministry of Health	PSC: Recruitment Register	PSC: Officers on Study Leave	PSC: Expatriate Appointment/ Renewal/ Extension	SSB Standard[1]
National ID Number						✍[num]
Recruitment Register Reference			✍[alpha/num eg RB/ADM/ 2.2/]			
Surname	✍[alpha]	✍[alpha]			✍[alpha]	
Initial		✍[alpha]				
Surname and Initials			✍[alpha]	✍[alpha]		✍[alpha]
Forenames	✍[alpha]				✍[alpha]	
Sex		✍[M/F]				
Zimbabwean		✍[Y/N]				
Nationality					✍[alpha]	
Date of Birth	✍[no sample]	✍[dd/mm/yyyy]			✍[dd/mm/yy]	
Employee Code Number	✍[alpha/num]	✍[alpha/num -eg 1623757C]		✍[alpha/num]		
Class			✍[num eg 2.2]			
Qualification		✍[sample blank]	✍[alpha eg Btech Mgt (UZ)]		✍[alpha/num eg B A ECONOMICS]	
Academic Qualification	✍[alpha eg A LEVELS]					
Professional Qualification	✍[alpha/num eg CISA, 3/4B]					
Date of Appointment to Public Service	✍[num eg 1/7/96]	✍[dd/mm/yyyy]				

Field	Comptroller & Auditor General	Ministry of Health	PSC: Recruitment Register	PSC: Officers on Study Leave	PSC: Expatriate Appointment/ Renewal/ Extension	SSB Standard[1]
Grade on Appointment	✍no sample					
Date of Appointment to Ministry of Health		✍[dd/mm/yyyy]				
Date of Appointment to Current Grade	✍[num eg 1/7/96]	✍[dd/mm/yyyy]				
Current Status		✍[alpha eg EMP][1]				
Dated [Date of current employee status]		✍				
Contract Expiry		✍[dd/mm/yyyy]				
Date of Termination with Ministry of Health		✍[dd/mm/yyyy]				
Telephone Extension	✍[num]					
Office Room Number	✍[num]					
Courses Attended	✍no sample			✍[alpha eg AD DIP VET TECHNOLOGY]		
Dates of Courses Attended	✍no sample					
Course Date From				✍[dd/mm/yy]		
Course Date To				✍[dd/mm/yy]		
Home Telephone Number	✍[num]		✍[num]	✍[num]		
Home Address	✍'Street' [alpha/num]		✍[alpha/num]	✍[alpha/num]		

[1]employee, established officer, probation, expatriate.

Field	Comptroller & Auditor General	Ministry of Health	PSC: Recruitment Register	PSC: Officers on Study Leave	PSC: Expatriate Appointment/ Renewal/ Extension	SSB Standard[1]
Comments		✍[alpha eg EX Min of IND & COM]				
Station Code		✍[alpha/num eg 10000G]				
Station Name		✍[alpha]				
Sub-Vote		✍[num eg 2][2]				
Ministry				✍[alpha]	✍{alpha]	
Dept				✍[alpha]		
Section	✍[alph/num eg VFM, D9]					
Last Update		✍[dd/mm/yyyy]				
Time		✍[hh/mm/ss]				
Post Code		✍[alpha/num eg A010]				
Grade	✍[alpha eg AUDITOR, or DRIVER III]	✍'Title'[alpha eg DEPUTY SECRETARY]		✍[alpha eg AUDITOR]		
Position[3]	✍[num eg 06]					
Salary		✍[num]				
Salary Code						✍[num]
Allowances		✍[num]				
Gross Salary	✍[num]					

[2]Sub vote codes: 1 = headquarters, 2 = hospitals/clinics, 3 = provincial medical district offices, 4 = laboratories.
[3]A numeric code designed to allow ordering of reports in a hierarchy representing order of seniority in the administrative structure].

Field	Comptroller & Auditor General	Ministry of Health	PSC: Recruitment Register	PSC: Officers on Study Leave	PSC: Expatriate Appointment/ Renewal/ Extension	SSB Standard[1]
Last Update		✍[dd/mm/yyyy]				
Date when salary commenced	✍[num eg 7/9/66]					
Annual Leave	✍no sample					
Sick Leave	✍no sample					
Special Leave	✍no sample					
Marital Status	✍no sample				✍[M/S]	
Next of Kin	✍no sample					
Address of Next of Kin	✍no sample					
Home Telephone Number of Next of Kin	✍no sample					
Work Telephone Number of Next of Kin	✍no sample					
Area of work of Next of Kin	✍no sample					
City of Work of Next of Kin	✍no sample					
Additional Information on Next of kin	✍no sample					
Father/Mother	✍no sample					
Home Address Father/Mother	✍no sample					
Home Telephone Number Father/Mother	✍no sample					
Other	✍no sample					

Field	Comptroller & Auditor General	Ministry of Health	PSC: Recruitment Register	PSC: Officers on Study Leave	PSC: Expatriate Appointment/ Renewal/ Extension	SSB Standard[1]
Name	✍no sample					
Relationship	✍no sample					
Home Telephone Number	✍no sample					
Business Telephone Number	✍no sample					
Number of Posts		✍[num]				
Number of Posts Filled		✍[num]				
Station Address Field 1		✍[alpha/num eg BOX 95]				
Station Address Field 2		✍[alpha eg KARIBA]				
Station Address Field PO Box		✍[sample left blank]				
Station Address Field Town		✍[sample left blank]				
Station Address Province		✍[alpha eg MASH WEST]				

CASE STUDY 6

NEPAL

International Records Management Trust

Background on Civil Service Reform in Nepal

The management of the Nepal Civil Service has presented ongoing difficulties since its establishment in 1952. In that year, the first of a series of administrative reform commissions was constituted to streamline the Civil Service. The Civil Service was formalised with the passage of a Civil Service Act of 1975 and the introduction of Civil Service Rules in 1975. A revised Civil Service Act and Civil Service Rules were introduced in 1993, and the Act was amended by Parliament in 1993.

Over the years, a number of studies have described the Civil Service as being politicised, inefficient and ineffective. A 1992 Administrative Reform Commission report noted that the civil service was seriously over-extended and that its sphere of operations needed to be significantly reduced. The Commission made a series of recommendations aimed at making the public service more efficient, results orientated, accountable, motivated and capable. The key proposals included a reduction of the number of ministries, downsizing the bureaucracy and devolving power to local bodies.

The situation has not improved over the years, and in fact several of the problems have deepened. In 1998, despite some legislative changes, the external funding community expressed its concern about the political nature of the bureaucracy and the lack of action on many of the Reform Commission's recommendations.

By late 1999, the Government had indicated its intention to break this cycle of failed initiatives and to pursue a comprehensive reform of the civil service. All political parties endorsed the importance of overcoming institutional weaknesses in public sector management as a significant aspect of Nepal's efforts to break out of the poverty trap. To signify top level commitment, the Prime Minister agreed to take an active role in the reform process and to chair the reform steering committee.

In preparation for a broader reform programme, a series of interrelated preparatory initiatives, including a civil service census, were undertaken over one calendar year in 1999/2000 as building blocks for formulating an action plan for a wider reform programme. These comprised:

? obtaining a clear breakdown of the size and composition of the civil service

? establishing a computerised database for the civil service

? conducting a major functional review of the ministries, departments and offices

? reviewing the Civil Service Act of 1975 (and the 1998 amendments) and recommending legal changes consistent with the reform agenda

? reviewing the existing payroll arrangements and formulating a plan for a unified payroll system.

Civil Service Censuses

Efforts of gain control of information about the size and composition of the Civil Service have been ongoing. A census was carried out in 1974 by the Central Bureau of Statistics, and again in 1993 under the direction of the Ministry of General Administration (MOGA). In between these two censuses, statistical data on civil servants was generated by processing administrative records. However, these records contained inconsistent information and there were data gaps. The 1999 census was an attempt to build upon the 1993 census in order to lay the foundation for an efficient, effective and sustainable system for maintaining information about pay and personnel.

1993 Census

Coverage

The main objective of the 1993 census was to create a database on the positions and employees in the civil service capable of producing timely and relevant information in any desired format. The census was extended to the entire country and covered all ministries, departments and regional/district level offices. The entire census was conducted during the calendar year 1993.

Two separate schedules were prepared, one for the permanent personnel and the other for temporary personnel. The data fields were:

- gender
- age
- educational attainment (highest level of academic degree acquired)
- length of service
- type of service (eg administrative, health)
- category (eg administrative, technical)
- tenure (eg permanent, temporary)
- level (eg gazetted, non-gazetted)
- average monthly earnings (eg salaries and allowances excluding income form other sources if any).

Methodology

Before launching the actual fieldwork, a publicity campaign was carried out via the Ministry of Home and Finance. During the actual fieldwork, the field personnel contacted the relevant respondent, usually the office chief, via the Chief District Officer. The respondents were

fully briefed and instructed in the methods of completing the census schedule. During the census enumeration, the census officer verified the completed schedules against the list of employees on the payroll of the concerned office. In order to ensure the accuracy of the data, the field staff checked the attendance register and counted the number of employees. The completed schedules were collected by the field personnel and brought to the central office of the MOGA before being forwarded to the National Computer Centre where the results were processed. The work was carried out in four stages, and ultimately, the census was completed within ten months.

The data were analysed in detail and a whole range of statistics were produced, providing a snapshot of the composition and of the Civil Service and of pay patterns in 1993. However, no systems were introduced to ensure the ongoing accuracy of the database or to relate it to the control of the payroll.

1999/2000 Census

Coverage

The 1999/2000 census was another attempt to gain information about the size and composition of the Civil Service, but it was not clear whether it was supposed to be a one-off headcount or a platform for a computerised personnel information system. Certainly the methodology was not rigorous enough to provide reliable data that could be verified against the payroll.

The terms of reference for the international consultants the supporting census exercise were as follows:

- Undertake a detailed update of the earlier civil service census, providing a gender disaggregated database.
- Conduct a census of the ten services that form Nepal's Civil Service.
- Construct a computerised database and backup system to store and retrieve this information; select and provide appropriate hardware and software.
- Advise MOGA on the optimal organisational and managerial set-up and develop business processes appropriate for maintaining and updating the database.
- Train MOGA staff in these functions and ensure compatibility with the Ministry of Finance payroll and budget information databases so that the systems can be interlinked in a follow-on project.

The census was designed to cover temporary and permanent staff in terms of:

- class (gazetted, non-gazetted)
- position (administrative, technical)
- age

- recruitment date
- number of years in service
- number of years in current position
- salary and allowances (including the source of salary for staff involved in externally funded projects)
- for gazetted staff, the number of assignments with other ministries on deputation, agencies and departments (including the name of the organisation and the length of assignment)
- other necessary information, including gender issues.

Methodology

The executing agency was the MOGA, and the project was guided by a high powered steering committee for civil service reforms, chaired by the Prime Minister. The vice-chairman of the Committee was the Minister for General Administration, and the committee included representatives of the Ministry of Finance, Ministry of General Administration, Ministry of Local Government, Auditor General's Office, Public Service Commission, Nepal Administrative Staff College, Institute of Public Administration, Commission for the Investigation of Abuse of Authority, Association of District Development Committees and Village Development Committees and the Mayor's Association. There were also representatives of the private sector and non-government organisations. The Public Sector Reform Policy Unit in the Office of the Prime Minister provided the secretariat of the committee and liaised with MOGA the day-to-day operation of the project. The international consultants reported directly to the project director in MOGA.

Workshops were undertaken with the participation of all concerned stakeholders during implementation.

The census did not employ a 'headcount' approach to verify the numbers of personnel in-post. Instead, it relied on government officials to ensure that individual employees completed a questionnaire recording their own personal details. The government enumerators simply handed over a batch of questionnaires in each location and then left. This approach ensured neither the completeness nor the accuracy of the census. There were known to be gaps in the data for districts where questionnaires have been returned, but it was not apparent exactly how many questionnaires were missing.

Alongside the census, a parallel exercise was introduced to computerise information contained in the central based personnel files held in MOGA's Records Centre. MOGA decided to initiate this exercise when it became apparent that the census questionnaire did not include a number of fields that were contained in MOGA's manual records. It was perceived that the census was a 'one-off' exercise that served a much narrower purpose. A local software firm was engaged with government funds to programme a database in ORACLE, and the records for gazetted officers were coded and for input. It is estimated that it would

take two years to complete this exercise for the entire civil service. The intention was to computerise all the personal data contained in the 'sheet roll', the form compiled when a civil servant first joined the civil service, using an ACCESS database.

The new Secretary, MOGA, then brought together the consultants working on the census and the Deputy Director of the Records Centre to see how the two parallel initiatives could be married. It was then decided that the database that was being established in the Records Centre would become the basis for the computerised personnel information system. This database would utilise, as far as possible, the census data that was held on the ACCESS database since it was possible to migrate the ACCESS files to ORACLE.

Key Issues

Ultimately, MOGA took charge of the civil service census by appointing the Deputy Director of the Records Centre as Project Manager. This was helpful but it was clear that further input was required if these were to be real progress. There were simply too many outstanding issues to be resolved, for which professional help was needed. These issues included the following:

- There was no clear statement of the objectives of the computerised personnel information system, nor had any analysis of user requirements been undertaken. Simply computerising the central personnel records was a very narrow aim that would not necessarily produce a system capable of providing the information needed to assist in personnel decision making, such as promotions and retirement planning.

- The assumption seemed to be that personnel records would continue to be centralised, with ministries, departments, regional directorates and district offices being able to read, but not amend, personal data. It was not apparent whether the centralised approach would serve the needs of other ministries, such as the Ministry of Health, which had been struggling for many years to create its own personnel information system. A strategy was needed for the whole of government, not just from the perspective of MOGA.

- The two years envisaged to complete the data entry for the centralised personnel records was an inordinately long period to have to wait for any benefits. The personnel data sheet developed for use drawing on the central records was three pages long, and this was almost certainly an unrealistic goal. Priorities needed to be set and a phased approach worked out. It seemed that data entry could be accomplished more quickly if the number of data fields were to be reduced.

- Until the new Secretary, MOGA was appointed, no one had given any serious consideration to reconciling the census data with the payroll or even verifying the payroll against the central personnel files.

- It was unclear whether either database in its current form would be capable of supporting effective establishment control, since neither included a separate field for 'post'. Both databases were structured around individuals in-post, so it seemed that the number of vacancies could not be determined. This should have been a key objective of the exercise.

? The census covered temporary as well as permanent civil servants, whereas the central personnel records included only permanent civil servants. All staff should have been incorporated regardless of their employment status. Neither database included teachers.

? No consideration has been given to the procedures for updating the personnel database (eg for new staff, promotions, retirements). It was considered that 'Personnel Change Request' form was needed and people trained in line ministries to ensure it was completed. Simply continuing to rely on ministries to send letters to MOGA would not provide sustainable controls.

? No thought had been given to the full range of technical skills needed to maintain and operate an update a computerised personnel information system. There was a belief that programming and data entry skills were all that was required.

The Government was left with two sets of personnel information, both of which were flawed in different ways. Reconciling the data sets was seen as essential but was bound to be very complicated and time consuming. Rather than simply pressing on with entering potentially flawed data, it was proposed that short term actions should be undertaken by the domestic consultants and government's own staff, under the guidance of the Project Manager. The proposed actions were as follows:

? First, reconcile the census records with the payroll in each pay station to obtain a clearer picture of the completeness of the census. If there were names on the payroll that had not been enumerated, these persons should be physically identified before a questionnaire was completed. Some such individuals might have retired, absconded or died for instance. There might also be individuals who had been enumerated but who did not appear on the payroll. There might be a number of reasons for this, such as the personal file not being moved at the time of transfer. These cases would need to be investigated to verify whether the persons have been properly engaged and whether their names appeared on the payroll of another pay station.

? Second, the employee names and locations from the census should be used as the starting point for the personnel database. If the central records could then be used (assuming that they could be found) to verify and amend the data collected in the census. It would be important at the outset to verify the employee's ID number to confirm that employment had been properly authorised. It might be possible to refer to the transfer history in the census questionnaire to locate the relevant personnel file. The focus should be on essential data (eg ID number, date of birth, present post, date of joining the service, date of appointment to present post, employment status, highest educational qualification) rather than worrying too much about training details or employment history.

? Third, match staff-in-post with MOGA records on number of established posts to determine vacancies in each location.

Conclusion

The three censuses carried out have had no significant impact on the management of the civil service. The 1999/2000 census which could have made an important contribution to the wider reform programme was not adequately planned or managed to provide data that was reliable or complete. The lack of clarity about whether it was simply a tool to detect possible fraud or whether it was intended to provide the basis for a future computerised personnel information system was a major impediment to success. Finally the inclusion of the paper-based central personnel files as a part of verification was added only as an after thought rather than being a key component of the project design.

CASE STUDY 7

ORISSA, INDIA

Chris Jones

BACKGROUND

The Indian state of Orissa is situated on the north eastern coast of the country, neighbouring the states of Bihar and West Bengal to the north, Madhya Pradesh to the east and Andhra Pradesh to the south. One of the poorest states in the country, Orissa occupies a land area approximately the size of the United Kingdom and contains a population of 34 million people. The largest urban centres are the state capital of Bhubaneswar and the coastal city of Cuttack. Parts of the interior of the state are mountainous, thinly populated and very difficult to access. In October 1999, Orissa suffered massive damage to its infrastructure and considerable loss of life as a result of being hit by a super-cyclone.

In administrative terms, the Government of Orissa (GoO) is divided into 30 districts. There are 34 state government departments. Apart from teachers, the staffing of the Orissa civil service is divided into four categories:

- Class I and II comprises officers of the Indian Administrative Service (IAS), the Orissa Administrative Service (OAS), and the Orissa Financial Service (OFS)

- Class III consists of clerical grades

- Class IV consists of semi-skilled and unskilled employees, such as peons, drivers, etc.

The total number of employees is approximately as follows:

Classes I ad II	15,000
Class III	200,000
Teachers	230,000
Class IV	150,000
Total	**595,000**

Additionally, there are an estimated 50,000 vacancies.

The majority of staff are full time and permanent, but there are also a large number of daily-rated temporary employees engaged on specific projects, (eg: road and bridge-building), and teaching staff in grant-aided institutions such as colleges and schools. Many of these employees have been continuously employed for 10-20 years, and therefore their actual status is questionable.

In organisational terms, the state government's administration is highly decentralised. Individual Departments are responsible for the deployment and administration of their own staff. Within overall budgetary constraints set by GoO's Finance Department, they are relatively free to deploy their resources at will. Additionally, operational units within each Department also enjoy a high degree of autonomy. So, for example, the headquarters unit of each Department does not necessarily have detailed, readily-available information on the staffing and establishment of any of its subordinate units in the field. The only document that can be readily produced is a summary list of the number of sanctioned posts, their status and designations, in each salary scale. In other words, there is no nominal role in the accepted sense of the term.

The state government does not have a central personnel function. Furthermore, there is no centralised system of payments. Instead, Drawing and Disbursement Officers (DDOs) within each Department manually compile a pay bill listing all the staff to be paid each month. In most cases, these staff are within the same department as the DDO. However, in remote rural areas - where there are comparatively few government employees - a DDO would be responsible for compiling the paybill for all the staff in that area - regardless of department.

DDOs undertake these duties in addition to their normal job responsibilities as, for example, Headmasters or Superintendents of Police. There are estimated to be approximately 7,500 DDOs and, purely in terms of their paybill duties, they are the responsibility of 31 Treasuries - each of which is located in a District, together with four Special Treasuries for the main centres of employment. The DDOs submit their monthly paybills to the relevant Treasury and draw the total amount of payment accordingly. Ninety-nine per cent of staff are paid their salaries in cash.

Staff data is contained in personnel files and Service Books. These latter documents are manually maintained to a reasonably uniform standard and provide basic personnel data such as date of birth, date of joining service, education and qualifications, etc. However, these files and books are not kept at a central location or registry. Instead, they are the responsibility of individual officers or establishment sections, (not necessarily DDOs), the majority of which are located physically close to the individuals concerned. This has resulted in a very wide distribution of storage points. The exact number of these is not known, but it is estimated to be somewhere between 7,000 - 10,000. No duplicates of personnel files or Service Book are kept by the government, although individual employees are supposed to keep a copy of their Service Books.

The state government's Directorate of Statistics conducts a rolling 5-year study of the establishment. This study ascertains the numbers of staff and posts in each department, together with other relevant information such as age, sex, salary, job designation, etc. However, the 1996 census has not yet been completed. The latest available data is therefore contained in the published 1991 census and cannot, therefore, be regarded as reliable or accurate.

Additionally, the Accountant-General's office, (part of the federal government, but located in Orissa), conducts an annual computerisation of the March paybills - mainly to determine the total number of employees at a given date and their total salary costs. This information is then passed to the state government and is used primarily for budgeting and other financial purposes. There have been no plans to incorporate this data into a computerised Human Resources or Payroll database.

Census Requirement

The requirement to conduct a census arose from a joint World Bank/DFID mission to Orissa in June 2000. In fact, there was a requirement to undertake two censuses. The first was intended as a quick review of employees by department, job category and employment status - to be completed by August 2000 - to provide basic data. The second exercise, initially scheduled for completion by March 2001, was intended to be much more comprehensive. It was proposed that data should be collected on name, sex, marital status, job designation, contractual status, basic pay, allowances, tribal status, date of joining government service,

educational qualifications and training. Additionally, it was proposed that data should be collected on the total number of posts in each department, broken down by category and status, (ie: whether vacant or occupied).

Leaving aside the substantial data collection issues inherent in this latter exercise, the key issue to consider was the computerisation of the data and any subsequent uses to which it might be put. Clearly, it would have been a waste of resources to undertake such a large exercise purely as a 'one-off' for census purposes. The successful completion of this census offered the opportunity to computerise the data collected and thereby introduce a computerised, GoO-wide manpower information system - containing both post and staff data.

While these issues were being discussed, the state government went ahead with the first, 'quick' census. Each department was therefore asked by the Finance Department to submit a return listing their total number of employees and posts. The returns were duly compiled and provided the basis of the figures given above.

The objectives for the second, more comprehensive, census and the computerised database derived from it can be summarised as follows:

- to determine the total number of employees and conduct basic analyses of their age, salary, education, gender, distribution across departments and employment status
- to identify, where possible, 'ghost' workers
- to examine alternative scenarios for the future total size of the service, including the cost of compensating employees whose employment might be terminated as part of any downsizing exercise
- to calculate the actual compensation payments due to individual employees
- to support procedures for exercising improved monitoring and control of manpower, (ie: recruitment, promotions, transfers, retirements and resignations)
- to provide, both routinely and in response to ad hoc requests, manpower information for a wide range of management purposes.

Possible Census Methodologies

A number of options were considered, as follows:

- Use the data already collected by the Accountant-General.
- Require each department to submit a detailed return.
- Employ census enumerators to visit each department and/or district to gather the necessary data.
- Require DDOs to provide the data.

In considering these options, a number of factors had to be borne in mind. Firstly, the difficulties of travelling to and within the interior of the state are considerable. Roads can be poor, especially in the rainy season, and there is no aviation infrastructure at all. Secondly, there is no telephone or telegraph communication with many government offices. The only consistent method of transmitting or receiving documents is the postal service - which itself relies on a variety of methods such as once-weekly private buses or trucks to carry mail. Thirdly, there is no computerisation within most government offices. Therefore, data is not held in a readily-retrievable form.

After some consideration, it was decided to reject the first option, ie: the data collected by the Accountant-General. Though computerised, it was done to a very poor standard and would not anyway have provided sufficient post and personal data. The second option, requiring departments themselves to provide the necessary data, was also rejected. Due to the highly decentralised nature of their structures, as described above, they are generally not able to provide accurate and timely returns. (Indeed, the main cause of the delay in producing the Directorate of Statistics' 5-year study has been the reluctance of the Departments to provide the necessary returns).

The option of employing census enumerators initially looked promising. It was envisaged that they would visit every location in which personal files/service books were held and extract the necessary data directly from source. Using the Accountant-General's computerised data as a basic control check, they would then compile returns for each office, district, etc. to a uniform format and standard of accuracy.

However, in calculating the number of enumerators required, it became clear that there would be a need for approximately 200. Recruiting and training such numbers would have become an unavoidably major exercise in itself. Their deployment across the state, virtually simultaneously, would have required a major logistical, administrative and management structure; and the costs of such an exercise would have been considerable - much more than the state government could have afforded. The only alternative to the employment of such enumerators would have been the use of government employees in the role; but the state government made it clear that it was unwilling to sanction the release of 200 of its staff for such purposes.

Therefore, the only realistic option left was to require the DDOs to provide the necessary data. This option also was not without difficulties. Given the complete absence of any centrally-held information on the exact number and location of DDOs, it was obvious from the outset that it would not be possible to compile a mailing list. Therefore, there would be no direct means of communicating with each DDO and, in turn, no means of checking that each DDO had submitted a return. However, this option was by far the cheapest and therefore the state government selected it.

Census Execution

Late in July 2000, the Finance Department issued instructions to each Treasury to, in turn, instruct their DDOs to provide the necessary information. These instructions were contained in a detailed memorandum - one which provided specimen copies of the format to be used for the data returns. The memorandum indicated that failure to provide the staff returns by the end of the following month would result in the paybill for defaulting establishments not being

honoured. This was considered to be the most effective sanction possible and was intended to ensure maximum compliance.

Within a month, the returns began arriving in the Finance Department. They were stored in no particular order and not checked so as to ascertain which DDOs had forwarded returns and which had not. It was acknowledged that some returns might be as late as six months - due to the extreme inaccessibility of some areas, and it was presumed that each Treasury would take the responsibility of chasing up any defaulters.

Of much greater concern was the physical state of the returns themselves. DDOs had used whatever paper they possessed or felt was appropriate. Some returns were set out on standard A3-sized paper. Other returns comprised A4-sized paper stapled or sellotaped together to form larger sheets. There was no standard size used. Nor was there any standard method of completion. Some DDOs had typed their returns, others were handwritten. These latter returns were, in some cases, virtually illegible.

There was a further problem. The DDOs had not uniformly complied with their instructions. In many cases, the establishment data had not been provided. In those instances where it had been, there was no obvious correlation between establishment and staff data. So, for example, vacant posts were not indicated and it was not possible to determine whether departments were under- or over-establishment in particular Classes. Also, some DDOs had transposed columns, others had omitted certain ones altogether. Some had been deliberately facetious. (In the column ‘Marital Status’, one DDO had written ‘so-so’ against one name, 'getting worse' against another, and so on).

However, as it would have been very difficult to return questionable forms to DDOs, it was decided to proceed with what was available at the time. Accordingly, all the returns were sent to several local data-entry agencies for processing. A specially-compiled data entry program was used to cut down the number of potential errors in the entry process, (eg misspelling of department names or inconsistent use of abbreviations). Despite these and other precautions, the agencies themselves made some key errors of judgement. The most notable of these was separating the various sheets compiled by individual DDOs and giving them to different data entry operators. This meant that the operators did not know which department or DDO a particular sheet of staff names referred to.

After approximately four months, a total of 490,000 staff had been entered. This figure represented all the returns so far received. The total fell well short of the estimated 650,000 posts in the establishment and, allowing for the non-recording of approximately 50,000 vacancies, it meant that potentially 100,000 staff had not been accounted for. Moreover, there were large ‘gaps’ in the data - which meant that the state government was committed to a substantial verification exercise if the data was to be cleaned up to an acceptable standard.

Summary and Conclusions

It is difficult to assess the overall strengths and weaknesses of the exercise. It was clearly inadequate in many respects - most notably in its failure to specify and control the returns submitted by the DDOs. Yet the exercise was conducted without any significant costs being incurred and it did yield a substantial amount of previously-unavailable information. The

alternative option would have taken significantly longer but, crucially, would have cost far more than the state government could possibly have afforded.

Also, it has to be borne in mind that the numbers involved are so large that any exercise of this type will involve substantial margins of error. The key issue is not so much gathering the data at first pass, but how effectively the data gathered is then maintained and updated. Over a period of approximately one year, it should be possible to develop realistic reporting and control procedures which will, in turn, be informed by an ever-improving database.

CASE STUDY 8

KAZAKHSTAN

Collin Crooks

INTRODUCTION

Kazakhstan is the second largest of the former Soviet republics and the ninth biggest country in the world, roughly about the size of Western Europe with a population of around 15 million. Under the current constitution, significant power is concentrated in the presidency.

Kazakhstan has no tradition of a modern, established civil service. There was no institutional knowledge of the qualitative and quantitative strength of state employees. No comprehensive survey had been carried out previously.

Background

The government of Kazakhstan acknowledges that the main role of the modern state in a democratic market-based economy is to provide fair and equal conditions and standards as the basis for daily life of citizens and economic activities. When a downturn in its revenues and expenditure affected the government's ability to maintain essential functions it was recognised that urgent action was needed. Accordingly, the country has embarked in the last few years on an ambitious and wide-ranging programme to establish financial stability and implement structural reforms.

The World Bank responded to the government's requests for assistance with a Public Sector Resource Management Adjustment Loan of US$230 million to be disbursed in three tranches, US$80 million in 1997, and US$75 million in each of 1998 and 1999 thus supporting the budgets during the period in which the government put in place temporary policy and institutional reforms as a basis for later, more permanent solutions. This loan was to support policy and institutional reforms in four broad areas:

? state administration and development of the civil service

? financial control and processes

? public sector investment process

? housing and related utilities.

Reason for the Census

The reform of the state administrative infrastructure and civil service development underpinned the strengthening of public sector resource management and was expected to achieve two purposes:

? the improvement of transparency and accountability of government decision-taking

? the streamlining of the government to enable it to meet the growing and increasingly complex challenges of modern administration in a market-based economy, consistent with the country's financial position.

A number of measures have been taken to minimise bureaucracy such as the reduction in the number of:

- ministries, from 21 to 14
- cabinet committees, from 13 to 3
- administrative districts from, 19 to 14.

A project was also set up to identify and review all bodies funded by government with a view to their abolition or privatisation.

The reform programme included the overhaul of the civil service in order to establish system that guarantees sufficient standards of professional quality and continuity, integrity and accountability among officials and which enhances the reliability of public administration. An Agency for Civil Service was established to oversee the restructuring which was tasked with:

a) carrying out a review of existing civil service laws and regulations so that enhanced provisions could be made for recruitment, promotion, job security and remuneration to develop a professional, efficient and effective workforce (by January 1999)

b) developing a comparative pay study (by June 1998) so that recommendations could be made for a revised civil service pay policy

c) establishing a personnel information network linking to a post management system for authorisation of number of posts within each fiscal unit (by September 1998)

d) undertaking a training needs assessment and developing an integrated training programme and action plan (by June 1998)

e) carrying out a census of employees paid from the State budget.

The Census

Although an integral part of the government reform programme, the need to undertake a census was given additional impetus and priority by its inclusion as one of a number of “key actions” which had to be fulfilled as a condition for receiving the World Bank second and third tranche payments.

The main objectives of the census were to:

- carry out a headcount
- obtain qualitative data
- provide input into the personnel roll and post management system
- act as a basis for developing a civil service legal framework.

To achieve this, the census concentrated on data-gathering of employees:

? numbers

? grades

? gender

? work assignments

? language competency

? educational background

? qualifications

? training received

? age

? pay

? location

? organisation

? service details.

The census was carried out in two stages. The first covered all employees of 29 ministries and agencies of the central executive branch, and all employees of the health and education sectors in two districts (Kustanai and Pavlodar). This was to be completed by June 1998.

The second stage covered health and education sector employees in the rest of the country and was to be completed by June 1999. Within the set timescales, work was to be carried out on checking accuracy and anomalies and actual numbers against cadre and analysing the results.

Some government departments were not included in the first stage because of the confidentiality of data. These comprised:

? President's Office

? President's Guarding Service

? National Guard

? Committee of National Security

? Barlau service

- Ministry of Defence

- Ministry of Interior Affairs.

A pilot census was carried out in January 1998 to check the effectiveness of the software that was developed specially to process the results and to check the questionnaire forms and suggest any improvements. The pilot included the Kustanai and Pavlodar health and education sector staff and the local state bodies in one district (Almaty).

Lack of precedents in the form of previous censuses caused some initial difficulties in co-ordinating activities. The Ministry of Finance took responsibility for carrying out the census and co-ordinating work between the various state organisations. The Ministry had the IT resources available to process the information in the form of a Computer Centre and could provide control and accurate checking of the data.

The Ministry provided a core group of five staff supplemented by a further 15-20 at the peak period, to work on the census for six months. Work was carried out on the methodology for the data-gathering operation which was by questionnaires devised by the team in conjunction with a local publishing house. The forms were delivered to relevant district bodies for them to ensure completion by each employee. Completion of the forms was sanctioned officially by the government. Heads of units were made responsible for ensuring accurate coverage and officials were nominated as enumerators for each budgetary entity. They were trained intensively in filling of the forms and several dry runs were conducted as tests. Overseeing each budgetary entity's census exercise was a designated co-ordinator backed up a by a team of roving supervisors to check the work. A good deal of cross-checking with salary details was carried out and a sample of forms was checked to verify that personal details were correctly taken and completed. The team then collected the completed forms, checked them and passed them to the Ministry of Finance's Main Computer Centre in Almany for data input. The timeframe for sending out forms to receipt of the completed ones was two months.

Summary of the Results of the Census

Payment to "ghost" workers was not considered a problem in Kazakhstan. The main problem discovered was one of substantial understaffing when comparing cadre against actual staff. This was found to be due mainly to two factors:

- the reduction of staff in any one budgetary unit so that better pay could be given to staff from the wage budget as a form of incentive

- pluralism whereby some staff have two or more jobs; this was found to be more pronounced in the education and health sectors.

At March 1999, the cadre for central state bodies was 5,077 whereas the actual number revealed by the census was 4,049, a 20% difference; in the local state bodies the actual personnel numbers were 59,745 showing a difference from the cadre of 1,744 or 4.4%. In the three years to July 2002, it was found that retirements will amount to 1.19% of the total

number of central state bodies, increasing to 3.75% within 5 years. Similar figures applied at the local state bodies.

The census also provided some data for a profile of the structure of the state establishment by identifying the proportion of staff of central state bodies not involved in carrying out state functions – this varied from 81.2% in the Central State Archive down to 1.3% in the Ministry of Energy, Industry and Commerce. Nationally, this figure was 16.6%, indicating a substantial amount of money intended for carrying out state functions actually being spent on service work.

The analysis by gender demonstrated that women and men occupied an equal number of posts generally but that few women were appointed to senior posts. Women did however occupy a far greater number of positions as specialists in the health and education sectors. The census enabled the age groupings for each ministry to be calculated. This revealed that personnel in the central state bodies were in average younger than indicated that at the local level staff, a higher proportion of whom will retire in the next few years. Language skills showed a marked difference between the central state bodies, where 20% spoke English, and the local bodies, where fewer staff had higher education standards. Russian was widely spoken as this is the language of inter-ethnic communication and the medium for teaching in universities and colleges. Disparity of grade and qualifications and pay was revealed and the census brought out a welter of facts and figures on which budgets and reforms could be based.

Overview of the Results of the Census

The census was completed within the agreed timescale of 18 months from start to finish including background work, development of the forms, logistics, transfer of data to the computerised database and analytical work. This was completed despite relocation of the capital and severe weather problems. Costs of the conduct and analysis of the census included technical assistance for the provision of two national consultants who, as part of their role on other aspects of reform, assisted the census exercise, plus US$515,000 for other expenses.

The census was regarded as a success despite opposition from some ministers. The President was extremely supportive of the exercise, convinced of the benefits to the country. The census was generally well-received. There was a large group of officials who were keen to begin the task of restructuring, and senior civil servants lent their support to the reforms. Most civil servants could see the benefits in terms of enhancing their status and creating greater equality and better standards in working conditions and pay rates. Only a minority feared that the results would be used for downsizing.

The census has helped to:-

- identify problems in the quality of state employees and their educational standards and qualifications, and disparities and inconsistencies in conditions and pay
- establish a broad picture of the civil service
- forecast retirements by category and department

- identify training and retraining needs generally and specifically for specialists in health and education

- assess the gender balance

- provide the means to determine the structure of state budgets.

The census has also provided the basis for developing by the end of 1999:

- *the Personnel Management Information System* with a database of all state employees capable of giving details of numbers due to retire, demand for specialist posts, help in the appointment and promotion process and other information on pay policy, maximising labour resources and business travel management. This system will allow a reduction in the number of staff working on personnel issues and will involve the integration of various existing and new IT systems and make use of a single identification number for each official for pay, pension and other purposes; this codification will be then used as a model for setting out the criteria for other information databases such as taxpayers and agents and contributors to the pension fund)

- implementing *a pay policy* with wage differentials and monetisation of non-wage benefits

- establishing *qualification requirements* for each grade and setting out procedures for competitive recruitment and promotion. (These requirements have been drafted as: knowledge of legal and regulatory framework and anti-corruption law; educational standards corresponding to the position; experience; language skills; decision-making ability).

The *post management system* was approved and used to decrease the establishment of some ministries, for example Agriculture by 3,717 staff, Natural Resources and Environment Protection by 355, Transport Communication and Tourism by 478 and Labour and Social Protection by 56.

Overall, it has been a useful tool for creating a civil service system where civil servants have a right to career advancement based on merit, setting out clearly their rights and duties with an openly-disclosed and well-regulated income, and high standards of education and selection with job protection coupled with sound disciplinary provisions. This will make a reliable, efficient and effective civil service less vulnerable to corruption and contributing to enhanced professional values and integrity. The census data has meant that the qualifications of civil servants could be assessed by job category.

The main results and findings were completed in time for them to be taken into consideration while preparing the 1999 budgets.

The Future

At this stage, because there is a functioning treasury system, no further census is planned but now that the first one has been undertaken successfully, further censuses may be considered to monitor the extent to which systems and reforms are working efficiently and accurately and are sustainable and to ensure that the various statistical information on databases are updated at set intervals. It would also be useful to know if civil servants have come to "own" and adhere to formal regulations and laws, and if the enhanced capacity building initiative has been seen to be sustainable and based not just on increased pay but other incentives such as better job security and pension.

In any future census, inclusion of the bodies excluded from this exercise may well be an issue; departments, such as Interior Affairs and Defence are large and their exclusion has an impact on the quality and comprehensiveness of the data.

There are often sensitive discrimination issues that could be considered for inclusion in a further census. There is a mix of ethnic groups and beliefs although the people generally live in peaceful co-existence. Details about ethnicity were thought to be lacking from the Census. In a country where Kazakhs make up around 47% of the population and Russians about 32%, with the rest comprising Ukrainians, Germans, Uzbeks, Tatars and others, this would be of interest in ensuring, or proving, equality of treatment, identifying concentrations of ethnic groups and in looking at the complete profile of the civil service, to know of such information. Similarly with religion where Islam and Russian Orthodox Christians are almost equally split; if there was felt to be any religious issues involved in the selection and treatment of civil servants, it would be advantageous to obtain data completion of analysis.

The census highlighted the need to look to the future because for the first time, numbers of staff who are due to retire in coming years are known. Although not directly concerning the civil service census, it would be wise to consider mounting a survey of schools and colleges and universities to look at the quality of future applicant pools and new recruits, to ensure a dynamic rather than static sense of the existing and coming labour market conditions and the ability of the civil service to attract qualified personnel.

ANNEX 3

CIVIL SERVICE CENSUS/DATABASE QUESTIONNAIRE

A: Key-Informant Information

- COUNTRY:
- Contact name:
- Government Department:
- Direct line/fax/e-mail:

B: General Information

- How many censuses have been carried out in the last 10 years?
- When was the last census taken?
- Who conducted the census? (ie external company / government department / other)
- Who was the funding agency?
- How much did it cost?

C: Context

- Prior to the census:
  a) what was the size of the Civil Service?
  b) what were the perceived problems, ie ghost workers, inaccurate payroll data, collapsed records systems?

D: Objectives

- What was the purpose of the census (ie reduce ghost workers, need to appraise for civil service reform, produce baseline for new establishment controls)?
- Who commissioned it?

E: Methodology

- How many people carried out the census?
- Were the interviewers trained before hand?
- Was the census piloted beforehand?
- Who designed the census?
- How long did it take to complete the exercise from start to finish?
- What number of people / posts were covered by the census?
- What documents were used in the collection of information?
- Was the information gathered in the ministry headquarters or in regional centres? How was it done – headcount or sample survey, paper based records or computer data inputting?
- Were there any underlying assumptions in the design, ie availability of equipment / resources / funding?
- How did they affect the data gathering?
- Was the information gathered checked for accuracy against the available records?
- If so, how and what was the degree of consistency?
- How was this linked to tackling establishment control weaknesses
- Was the exercise constrained by any other factors, eg time, money, equipment, resources, geography and personnel?
- How long did the entire exercise take?

F: Outcomes and Follow-up

- Were the objectives met?
- How many ghost workers were identified and how many removed from the payrolls?
- How was the data used and how often?
- What were the strengths and weaknesses of the tools employed?
- What establishment controls were implemented, if any?

- Is another census necessary?
- If so, what changes will be made next time?

G: Additional Comments

Please add any other relevant comments in support of the above.

ANNEX 4

REPAIRING COLLAPSED PERSONNEL RECORDS SYSTEMS[1]

Neglected personnel records systems tend to be congested with files that are not required on a daily basis. These files may relate to individuals who have been transferred to another department or to an executive agency or privatised organisation as well as to staff who have died, resigned, retired or been retrenched. In such overcrowded storage conditions, it is almost impossible to provide the information ministries need.

One of the first and most significant steps in repairing these systems is to identify and physically remove those files that have not been used for a designated period, such as ten years or fifteen years. As these files will still be needed for calculating pensions or entitlements, they should be systemically transferred to secure, low-cost storage.

Once the files have been transferred to a records centre, it will be necessary to create a finding aid capable of bringing together all files relating to a given individual. A number of options are available, including creating a large card index, developing a computerised database using customised software or inputting information into an off the shelf database programme.

One approach to decongestion is described below. This approach works best in instances where it has been decided that the master file will be held by the employing ministry and where the payroll or some other definitive list of staff can be used to identify who works for each ministry. An analysis of the government's precise requirements would need to be undertaken before this method could be introduced.

Step 1

The method divides all personal files into four categories:

- A: staff currently working for the ministry
- B: staff who used to work for the ministry but who have been transferred elsewhere
- C: staff no longer in the service, or those who have been retrenched, have retired, resigned, dismissed or have died. Further appraisal and selection will be required to identify files that could be safely destroyed
- D: staff whose status is unclear and whose files can be progressively eliminated by allocation to other categories.

[1] Quoted from Pages 99-102 of the module on the *Management Personnel Records*, which forms part of the International Records Management Trust's *Managing Public Sector Records: A Training Programme*

This process progressively eliminates duplicate or unnecessary files from the system by:

- decongesting the registries of category C files
- reorganising category A files so that they can be retrieved more easily
- reducing the category B backlog by merging them with the file held by the current employer.

The process is illustrated below in Figure 1.

Step 2

Once the registry area is cleared of files not in active use, the task of repairing the system will seem more achievable. The next stage is to address the issue of duplicate files.

Where the intent is to introduce computerisation, the decongestion exercise should be timed to coincide and support the development of the electronic system. If possible, a records management project should precede the implementation of the computerised personnel systems in any particular order to avoid including data from files relating to employees no longer in the civil service.

Step 3

Improve the quality and completeness of personal files, by:

- clarifying what should be held on the open file and on a confidential file
- separating master files from working files
- encouraging better records management practices by
    - improving career development of records officers
    - training
    - auditing the accuracy and comprehensiveness of personal files.

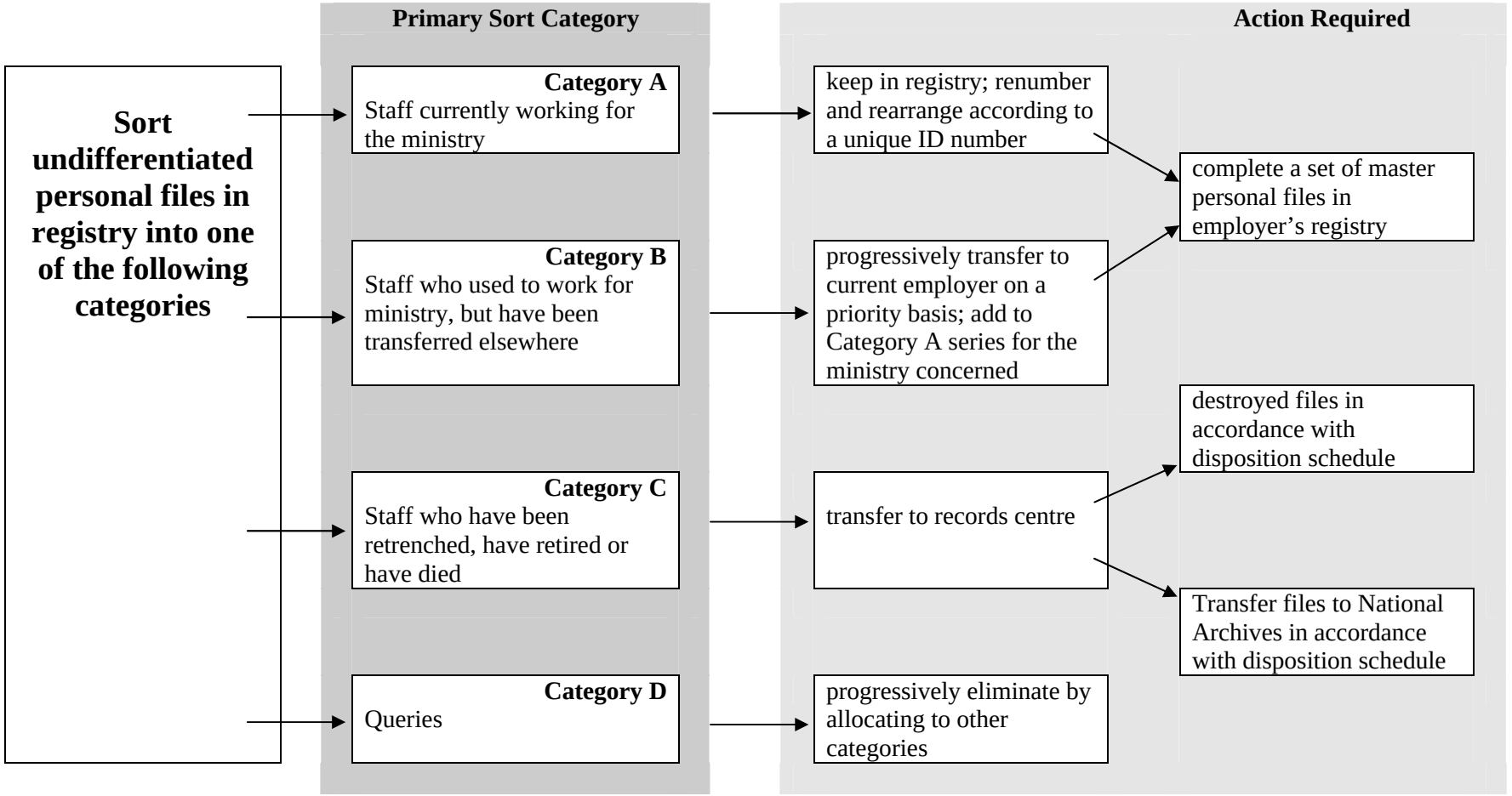


Figure 1: The Decongestion Process

ANNEX 5

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